

Grants to Organizations, FY 2002

NEW ARTS LEARNING GOAL, SEE PAGE 9 ►



NATIONAL
ENDOWMENT
FOR THE ARTS

APPLICATION GUIDELINES FY 2002

Application Calendar

OMB No. 3135-0112
Expires 07/31/2003

Application Postmark Deadline	Goal	Earliest Announcement of Grant Award or Rejection	Earliest Beginning Date for Endowment Period of Support
March 26, 2001	Creativity, Organizational Capacity (Services to the Field)	November 2001	January 1, 2002
May 14, 2001	Arts Learning*	March 2002	June 1, 2002
Aug. 13, 2001	Access, Heritage/Preservation	March 2002	June 1, 2002

*The Arts Learning goal that appears in these guidelines describes the Arts Endowment's commitment to children and youth. It replaces and is different from the Education goal of past years. Certain types of activities that previously were included under the Education goal now should be directed to goals other than Arts Learning. See the guidance on page 4 to determine the appropriate goal for your project.

Late applications and ineligible applications will be returned; applications that are determined to be incomplete will be rejected. We strongly recommend that you send material "return receipt requested." **Without proof of mailing from the delivery service, the Arts Endowment will not accept applications that are delayed or lost in the mail.**

The Arts Endowment will not accept any application material by electronic transmission (e.g., FAX or e-mail) unless requested by Arts Endowment staff.

Please do not seek information on the status of your application before the announcement date that is listed above.

If you have questions:

Write: National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, NW
Washington, DC 20506-0001
Attn: Field/Discipline Name (see page 13)

Visit: World Wide Web site at www.arts.gov

Call: The staff for the field/discipline which is most appropriate for your project. See page 13 or call 202/682-5400.



202/682-5496 Voice/T.T. (Text-Telephone, a device for individuals who are deaf or hard-of-hearing)



Individuals who do not use conventional print may access these guidelines on the Web site or contact the Arts Endowment's Office for AccessAbility at 202/682-5532 for help in acquiring an audio recording of these guidelines.

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MISSION

The National Endowment for the Arts, an investment in America's living cultural heritage, serves the public good by *nurturing* the expression of human creativity, *supporting* the cultivation of community spirit, and *fostering* the recognition and appreciation of the **excellence** and **diversity** of our nation's artistic accomplishments.

GOALS

To fulfill its mission, the Arts Endowment has established the following programmatic goals:

- To broaden public access to the excellence and diversity of the arts.
- To foster opportunities for the creation and presentation of artistically excellent work.
- To strengthen the role of the arts in our nation's educational system and encourage lifelong learning in the arts.
- To preserve our nation's cultural heritage for the 21st century.
- To strengthen the organizational and financial capabilities of America's arts organizations.
- To help address the concerns of America's communities through the arts.
- To strengthen the Endowment's partnerships with the public and private sectors.

Grants to Organizations

The National Endowment for the Arts recognizes, encourages, and supports the excellence and diversity of our nation's artistic creativity and accomplishments. These guidelines articulate the agency's commitment to support the core artistic and public service projects of organizations that are involved in the arts. Assistance is available to nonprofit organizations of all types and sizes, and for projects in all arts disciplines.

These guidelines describe funding opportunities that align with five of the Arts Endowment's goals:

- **Creativity: Creation and presentation of artistic work, and development of professional artists.**
- **Organizational Capacity (Services to the Field): Developing strong and valued arts organizations.**
- **Access: Access to the arts for all.**
- **Heritage/Preservation: Preservation of our cultural heritage.**
- **Arts Learning: Children and youth learning in and through the arts.**

Implicit in all of the Arts Endowment's goals is its commitment to artistic excellence.

Arts Learning is a revised goal for FY 2002. The Arts Endowment is committed to advancing the state of arts learning for children and youth in this country. Over the past 15 years, the agency has led efforts to make the arts a part of the basic education for all pre-K through 12 students and to increase the opportunities outside of school settings for arts

learning. Last year, the Arts Endowment convened a series of meetings on arts learning to help inform future steps that the agency might take.

The revised Arts Learning goal describes the agency's commitment to children and youth and the different ways that they learn in and through the arts. While it relates to the Education goal that has appeared in previous guidelines, there are some important differences. The Arts Learning goal will:

- Focus on the young person as the arts learner.
- Be more strategic about the Arts Endowment's investment in arts learning.
- Support arts learning opportunities for young people both in school and outside the regular school day and year.
- Address specific Arts Learning outcomes. (The Arts Endowment is using the Arts Learning goal to pilot an outcome-based approach to its grants. See page 10 for further information.)
- Help providers of arts learning (arts organizations, schools, youth arts programs) understand how their anticipated program outcomes relate to the Endowment's Arts Learning category through the inclusion of project examples.

Certain types of activities that previously were included under the Education goal, but do not focus solely on children and youth, now should be directed to goals other than Arts Learning. See the grid below for guidance on the appropriate goal for your project:

Adult/intergenerational education activities directed to new goals	New Goal Area
Artistic development programs for professional artists	Creativity
Professional development of arts administrators	Organizational Capacity
Educational activities in the arts for adults and intergenerational groups	Access

GUIDING PRINCIPLES

Organizations should be aware of the following:

- The Endowment urges organizations that apply under these guidelines to involve artists, and to reflect that involvement in their applications.
- The Arts Endowment is committed to supporting equitable opportunity for all and investing in as diverse a reflection of our society as possible, including works of all cultures and periods.
- The Endowment is interested in projects, regardless of the size or type of applicant organization, that are of national, regional, or field-wide impact or availability; that tour in several states; or that provide an unusual or especially valuable contribution because of geographic location. This includes local projects that can have a significant effect within their community or that are likely to serve as models for a field.
- The Arts Endowment recognizes that significance and impact can be measured by excellence or creativity, not solely by budget size, institutional stature, or the numbers of people or areas that are reached.
- The Arts Endowment urges applicants to make accommodations for individuals with disabilities an integral part of their projects.

ELIGIBILITY

Nonprofit, tax-exempt, U.S. organizations may apply. Applicants may be arts organizations, local arts agencies, arts service organizations, federally recognized tribal communities and tribes, official units of state or local government (including school districts), and other organizations that can help advance the goals of the Arts Endowment.

To be eligible, the **applicant organization must:**

- Meet the “Legal Requirements” on page 55.

- Have a three-year history of programming prior to the application deadline, except for applicants for folk & traditional arts projects.
- Have professional staff, paid or volunteer, who can devote the time and effort that are required to accomplish the project.
- If a **former grantee**, have submitted acceptable Final Report packages on any completed Arts Endowment grant(s) by the Final Report due date(s).

An eligible organization may submit only one application under these guidelines; exceptions are made only for those cases that are outlined under “Application Limits” below.

The designated 50 state and six jurisdictional arts agencies (SAAs) and their regional arts organizations (RAOs) may serve as fiscal agents or as consortium members and participants, including consortium lead applicants. However, all grant funds must be passed on to the sponsored organization or to other consortium members. Each SAA or RAO may serve as the lead applicant for only one consortium project. A SAA or RAO may not serve as the lead applicant or as a consortium member in a consortium of only two members, except in applications for folk & traditional arts projects. There is no limit on the number of applications for which a SAA or RAO may serve as a fiscal agent. SAAs and RAOs are eligible to apply on their own behalf through the Partnership Agreements guidelines.

Application Limits

An organization may submit only one application under these FY 2002 guidelines, with the following exceptions:

- **Parent organizations** that have separately identifiable and independent components (e.g., an art museum that is located on a university campus) may submit a separate application for each such component as well as one application on its own

behalf. The parent organization must meet the eligibility requirements for all applicants.

An independent component must be a unit that is both programmatically and administratively distinct from the parent organization; have its own staff and budget; and generally have an independent board or other advisory group that has significant responsibility for oversight and management. **Academic departments of colleges and universities do not qualify as independent components.**

■ **Fiscal agents** that are willing to assume full responsibility for the grant may sponsor one or more organizations that do not have their own nonprofit status but that otherwise meet the criteria for eligibility (see “Eligibility” on page 5). A fiscal agent may submit a separate application for each such group as well as one application on its own behalf. The fiscal agent must meet the eligibility requirements for all applicants. Fiscal agents may not apply on behalf of consortium applications (see below); individuals; or commercial, for-profit organizations.

In addition, fiscal agents must have on file, and be able to provide if requested, a written contractual agreement between the fiscal agent and the sponsored organization that outlines the fiscal agent’s administrative, programmatic, financial, and legal responsibility for the sponsored project. A sample contract is available from the Arts Endowment’s World Wide Web site at www.arts.gov or from the Office of General Counsel at ogc@arts.endow.gov or 202/682-5418.

Beginning with grants that were awarded in FY 1999 (as indicated by a grant letter that is dated on or after October 1, 1998 and a grant number that begins with “99–”), any one sponsored organization may receive no more than three Arts Endowment grants through a fiscal agent.

■ Consortium applications.

The Arts Endowment encourages collaborative projects and consortia. However, if your organization is submitting only one application under these guidelines—even if it is for a collaborative project—do not designate your application as a consortium application. The remaining information in this “Consortium applications” section does not pertain to your application.

A consortium is a partnership of two or more organizations that undertake a shared project which requires combined resources of capital and/or human talent. The members jointly conceive, execute, and expend resources on the project.

In addition to submitting an application on its own behalf, an eligible organization may serve either as the lead applicant or as a consortium member in one consortium application. If an organization chooses not to submit an application on its own behalf, it may serve either as the lead applicant or as a consortium member in two consortium applications.

A majority of consortium members (i.e., more than half, including the lead organization) must meet the eligibility requirements for all applicants. In a consortium of two, both must comply with all of the eligibility criteria. No consortium may include more than 10 members, including the lead applicant. A parent organization and its component(s) may not apply as a consortium. Consortium members may not be individuals or for-profit entities.

The lead applicant must meet all of the eligibility requirements; submit the application; accept administrative, programmatic, financial, and legal responsibility for the grant, including all reporting and monitoring activities; act as the payee for the receipt of federal funds; and, as applicable, distribute the federal funds to the consortium members.

Applicants considering serving as the lead applicant of a consortium are strongly advised to consult with the appropriate field/discipline staff (see page 13) before preparing an application.

WE FUND

Under these guidelines, funding is available for:

Specific projects only.

- A project may consist of one or more **specific** events or activities; it may be a part of an applicant's regular season or activities. Organizations that undertake a single short-term project in a year—a jazz festival, for example—could apply for that event, or they could identify certain components (such as the opening and closing concerts) as their project. The important point is to be specific about the activities for which Endowment support is requested, and to provide specific information on the artists, productions, venues, distribution plans, etc., that will be involved.
- Organizations may apply for any or all phases of a project, from its planning through its implementation.
- A project does not have to be new. Excellent existing projects will be considered to be just as competitive as new activities.
- Projects do not need to be large in scope; the Endowment welcomes small projects that can make a difference in their community or field.

WE DO NOT FUND

Under these guidelines, funding is **not** available for:

- General operating or seasonal support.
- Direct grants to individuals. (The Arts Endowment encourages applicant organizations to involve individual artists in all possible ways.)
- Subgranting or regranting, except for state arts agencies, their regional arts organizations, and local arts agencies that are designated to operate on behalf of their local governments or are operating units of city or county government.

- Individual elementary or secondary schools directly. (School districts, and state and regional education agencies are eligible.)
- Construction, purchase, or renovation of facilities.
- Costs for the creation of new organizations.
- Commercial (for-profit) enterprises or activities.
- Cash reserves and endowments.
- Generally, professional training in degree-granting institutions.
- Work toward academic degrees.
- Literary publishing that does not focus primarily on contemporary literature and/or writers.
- Generally, publication of books or exhibition of works by the applicant organization's staff, board members, faculty, or trustees.
- Exhibitions of, and other projects that primarily involve, single, privately-owned collections.
- Projects for which the selection of artists or artworks is based primarily upon criteria other than artistic excellence.

Additional information on unallowable costs is included in the instructions for the Project Budget form on pages 41 and 43.

GOALS

The five Arts Endowment goals that are covered by these guidelines are discussed below.

- 1. Creativity: Creation and presentation of artistic work, and development of professional artists.** Grants are awarded under the Creativity goal to increase the number of artistically excellent works that are created and presented to the public; and to expand the opportunities for artists to interpret,

explore, and create work, and to develop their careers. Projects may include, but are not limited to:

- Opportunities for artists to create and refine work, within one or across several art forms or disciplines. This may include commissions, residencies, rehearsals, workshops, collaborations with artists from other countries, design development, and the re-creation or imaginative reinterpretation of existing works as well as the development of new work.
- The public presentation, exhibition, performance, or publication of high quality artistic works of all cultures and periods (literature projects must focus on contemporary writers). This may include festivals; premieres, and second or subsequent productions, of new American works; presentations of classic repertory; and the use of new technology to help present work.
- Artistic development programs for professional artists, such as training programs.

Significant arts programs that are intended for national broadcast on television or radio should apply under the FY 2002 Arts on Radio and Television guidelines; see page 15.

2. Organizational Capacity (Services to the Field): Developing strong and valued arts organizations.

In order to realize their artistic and public service goals, arts organizations need effective leadership. For FY 2002, the Arts Endowment is emphasizing projects that develop future arts leaders and enhance the skills of those who are already working in the field. In addition, the Endowment remains committed to projects that are designed to help multiple arts organizations become more effective and adaptable.

Organizational Capacity support is intended for projects that will serve a broad constituency of arts organizations and artists; **this area of funding is not intended to help the applicant organization improve its own effectiveness.** Priority will be given to organizations that exist primarily to provide

services to arts organizations and artists. Projects may include, but are not limited to:

- Workshops or conferences that provide professional development, networking, and other services that are designed to enhance leadership capabilities.
- Training and professional development for arts administrators.
- Activities that explore and address opportunities for leadership training across all organizational levels, from entry level to senior management and boards.
- Skills development and other programs that are offered by local arts agencies.
- Technical assistance to help other arts organizations plan effectively for their futures, including leadership transition.
- The institution of strategies to increase artists' or arts organizations' capacity for effective leadership.

NOTE: The creation and mounting of productions, presentations, or exhibitions are not eligible under this goal.

3. Access: Access to the arts for all. The Access goal encompasses a wide variety of projects that seek to make the arts more widely available. Access projects often seek to reach: those in underserved areas; or those whose opportunities to participate in the arts may have been limited by age, disability, language, or educational, geographic, ethnic, or economic constraints. Projects may include, but are not limited to:

- Exhibitions, performances, distribution of artistic work, and other activities that provide public access to a diverse range of art in settings that may include arts spaces, community centers, schools, senior centers, parks, etc.

- Touring to rural, state-wide, or multi-state areas.
- Outreach projects that involve diverse communities and reach new audiences.
- Innovative uses of new technology to enhance public access to the arts.
- Educational activities in the arts (not for academic credit) that are offered to adults or inter-generational groups.

Significant arts programs that are intended for national broadcast on television or radio should apply under the FY 2002 Arts on Radio and Television guidelines; see page 15.

4. Heritage/Preservation: Preservation of our cultural heritage. Heritage/Preservation seeks to honor, assist, encourage, preserve, and present those forms of artistic expression and practice that reflect the many cultural traditions that make up our nation. Projects may include, but are not limited to:

- Festivals, exhibits, publications/anthologies, and other presentations of artists and art forms that reflect and increase the public's appreciation for our diverse cultural traditions.
- Apprenticeships and other forms of instruction that pass artistic repertoire, techniques, and traditions on to future generations.
- The documentation, recording, or conservation of highly significant works of art, artifacts, built or designed elements, collections of art, or of cultural traditions and practices.

Significant arts programs that are intended for national broadcast on television or radio should apply under the FY 2002 Arts on Radio and Television guidelines; see page 15.

5. Arts Learning: Children and youth learning in and through the arts: Arts Learning is designed to encourage efforts that will identify, support,

and/or replicate best practices; expand opportunities; demonstrate the benefits of strong arts and learning partnerships; and improve the quality of learning in and through the arts for our nation's children and youth (generally early childhood through age 18). The Arts Endowment will support quality arts learning projects in both the pre-K through 12 and youth arts areas. Projects that are based at higher education institutions are eligible if the focus is directly on children and youth.

Arts Learning projects may take place in, after, or out of school. They may include, but are not limited to:

- Youth arts or school programs, planned in collaboration with community arts partners, where artists or arts organizations provide lessons or courses in the arts that have explicit learning objectives. School programs should be in line with national, state, or local arts education standards or with curricular frameworks.
- Programs that engage children and youth over an extended period in increasing their understanding of or proficiency in an arts discipline, genre, or form.
- Performances, exhibitions, or demonstrations that are enhanced through the use of study guides, artist visits, interactive encounters with works of art, or through professional development for the youth program providers or teachers.
- Professional development programs that increase the knowledge and skills of teachers, artists, youth program providers, and others who work in arts learning with children and youth.
- Projects that explore new ways to integrate arts learning with learning in other subjects.
- Collaborations between teachers, artists, curriculum specialists, and/or youth program providers to incorporate arts knowledge and/or skills into planning and instruction.

- Projects that use the arts to enhance young people’s understanding of their own and other cultures.
- Projects that use the arts to promote effective team work, self-directed learning, and improved social interactions among children and youth.
- Research on the educational or developmental impact of the arts, artists, and arts resources in our nation’s schools or community settings.
- Research that evaluates or determines the impact and/or effectiveness of arts learning programs or practices.
- Documentation and/or dissemination of promising or proven arts learning programs and practices.
- Projects that result in the creation of innovative education technology that supports teaching and learning.

Applicants with partnership projects for artists’ residencies that provide positive alternatives for youth may want to consult the Challenge America Fast Track Grants guidelines; see page 15. This program will award grants of \$5,000 or \$10,000 in rural or underserved areas, and uses a simplified application and expedited review.

Arts Learning Outcomes

The Arts Endowment is using the Arts Learning goal as a pilot for an outcome-based approach to its grants. Throughout this test, the Arts Endowment will work with applicants to determine the best methods for shaping effective projects, measuring results, and implementing future outcome-based funding.

Outcome-based funding asks applicants to define the anticipated benefits or changes that will take place among individuals or populations as a result of their participation in the project activities. Outcomes may relate to a change in behavior, skills,

knowledge, attitudes, values, conditions, or other attributes. Applicants also are asked to state how they will measure their success in meeting these outcomes. The Endowment encourages applicants to think about where they are now in the area of arts learning and how they can work in partnership with others to move to a more effective and sustainable level of engagement.

The Arts Endowment has identified a number of outcomes that it plans to achieve through Arts Learning. A project should address directly one or more of the 14 numbered outcomes listed below. A project does not need to address all of them. Applicants also may wish to identify additional outcomes of their own and will have the chance to do so as part of the application.

Through funding a wide variety of Arts Learning projects, the Arts Endowment expects the following outcomes:

■ Increased awareness, knowledge, skills, and understanding of and through the arts

Children and youth will:

1. Increase and/or strengthen their knowledge and skills in the arts.
2. Use the arts to express their ideas and feelings.
3. Increase their interest in learning, both in the arts and generally.
4. Expand their awareness of the diverse cultures of this and other countries.
5. Improve social interaction and their ability to relate to others.
6. Participate more actively in their community.

■ Expanded professional development opportunities for teachers, artists, youth program providers, and others who work with youth

7. Teachers, artists, youth program providers, and others who work with children and youth

will use arts learning more effectively in their teaching and programming.

8. Artists will enhance their interest in and ability to work with children and youth.

9. Teachers and youth program providers will increase their collaborations with artists in the planning, delivery, and/or assessment of arts learning.

■ **An enhanced policy and program environment for arts learning**

School districts, arts organizations, and youth programs will:

10. Fully utilize and value the essential role of arts educators and practicing artists in arts learning.

11. Develop policies and practices to ensure that the arts are an essential part of the learning and development of children and youth.

12. Expand resources for quality arts learning experiences.

13. Incorporate or strengthen arts learning in their core curricula and programs.

14. Establish or strengthen effective arts learning partnerships with community arts and cultural resources.

Arts Learning Reporting Requirements

As part of their final report to the Arts Endowment, organizations that receive an Arts Learning grant will be required to submit information on the outcomes that were anticipated and whether they were achieved successfully.

REVIEW CRITERIA

The following criteria are considered during the review of all Grants to Organizations applications:

The artistic excellence of the project, which includes the:

- Artistic significance of the project.
- Quality of the artists, arts organizations, works of art, and/or services that the project will involve, as appropriate.

The artistic merit of the project, which includes the:

- Potential to broaden and/or deepen public knowledge, understanding, and appreciation of and access to the arts.
- Potential impact on the artistic and/or cultural heritage of the nation, region, or field.
- Potential impact on artists (including evidence of direct payment) and the artistic community.
- Where appropriate, geographic location of the applicant organization, or the potential to reach underserved populations such as those in rural areas, culturally diverse or ethnically specific communities, and individuals with disabilities.
- Appropriateness of the project to the organization's mission, audience, and/or constituency.
- Ability to carry out the project, including the appropriateness of the budget, the quality and clarity of the project goals and design, the resources involved, and the qualifications of the project's personnel.

In addition, the following criteria also will be used for Arts Learning projects:

For in-school projects, the:

- Potential to advance the arts as a basic component of the curriculum and to address the National

Standards for Arts Education and/or the relevant state/local standards for arts education.

- Potential impact on learning across the curriculum through the arts.
- Plans for evaluation.

For all Arts Learning projects, the:

- Likelihood of the project's achieving one or more of the outcomes that the Arts Endowment has identified for Arts Learning (see pages 10-11).
- Potential of the project to establish new or strengthen existing partnerships between schools and/or youth program providers and artists, arts organizations, and other community resources.
- Degree of commitment by the arts learning partners to common goals and to working together to plan, develop, implement, and evaluate the project.
- Means by which the success of the outcomes will be determined.
- As appropriate, plans for documentation, dissemination, and/or replication of promising or proven programs and practices.

GRANT AMOUNTS AND MATCHING FUNDS

An organization may request a grant amount between \$5,000 and \$150,000. Most grant awards will range from \$5,000 to \$100,000. Grants of \$100,000 or more will be made only in rare instances, and only for projects that the Arts Endowment determines demonstrate exceptional national or regional significance and impact. All grants require a match of at least 1 to 1.

In developing an application, the Endowment urges all applicants to consider the level of recent awards and to request a reasonable grant amount. Applicants should review the lists of recent grants on the Endowment's Web site to get a sense of recent grant award levels and project types. In the past few years, well over half of the agency's grants have been for amounts less than \$25,000.

Applicants whose grants are recommended at less than the amount that is requested may be asked to revise the project budget. The Arts Endowment reserves the right to support a particular portion(s) or cost(s) of the project that is described in the application.

PERIOD OF SUPPORT

The Endowment's support of a project may start no sooner than the "Earliest Beginning Date for Endowment Period of Support" listed on the Application Calendar on the inside front cover of these guidelines. Grants awarded under these guidelines may cover a period of support of up to two years. **Applicants should allow sufficient time to plan, execute, and close out their project.**

A grantee may not receive more than one Arts Endowment grant for the same costs during the same or an overlapping period of support. In addition, different grantees may not receive grants for the same project costs during the same or an overlapping period of support.

Important Information for All Applicants

WHO TO CALL

If you have specific questions about your application, **please contact the staff for the field/discipline which is most appropriate for your project.** Before calling, review the “Project Field/Discipline Instructions” on page 20. We also encourage you to check the “Frequently Asked Questions” in the Grants to Organizations section of Guidelines & Applications on our Web site for information and advice from panelists.

Arts Education [For pre-K through 12 projects that involve learning in schools as part of the established curriculum and instructional program, and for activities that occur in or outside of school venues, before or after the school day or year, that are linked formally to the school program. For other types of projects under the Arts Learning goal, call the relevant arts discipline (e.g. dance, visual arts, etc.).]	202/682-5521
Dance (including dance presentation)	202/682-5452
Design (including architecture, urban design, landscape architecture, planning, product design, graphic design, clothing design, and interior design)	202/682-5452
Folk & Traditional Arts	202/682-5678 or 682-5726
Literature	202/682-5787 or 682-5771
Local Arts Agencies (including state-wide assemblies)	202/682-5581 or 682-5586
Media Arts	202/682-5452
Multidisciplinary	202/682-5658 or 682-5469
Museums	202/682-5452
Music (including music presentation)	
Organizations with names that begin A through M	202/682-5590
Organizations with names that begin N through Z	202/682-5487
Musical Theater	202/682-5509
Opera	202/682-5438 or 682-5600
Presenting (multidisciplinary presentation only)	202/682-5591 or 682-5469
Theater (including theater presentation)	
Organizations with names that begin A through H	202/682-5509
Organizations with names that begin I through Q	202/682-5511
Organizations with names that begin R through Z	202/682-5020
Visual Arts	202/682-5452

WHAT HAPPENS TO YOUR APPLICATION

Applications are evaluated according to the “Review Criteria” on pages 11-12 of these guidelines.

After processing by Endowment staff, applications are reviewed, in closed session, by advisory panelists. Each panel comprises a diverse group of arts experts and other individuals, including at least one knowledgeable layperson, with broad knowledge in related areas. Panel membership rotates regularly. The panel recommends the projects to be supported, and the Endowment staff reconciles panel recommendations with the funds that are available. These recommendations are forwarded to the National Council on the Arts, where they are reviewed in open session. The Council makes decisions on which applications to reject. It sends forward to the Chairman of the National Endowment for the Arts those applications that it recommends for funding. The Chairman makes the final decision on all grant awards. Applicants are then notified of funding decisions.

After notification, applicants who have questions may contact the Arts Endowment staff in the appropriate field/discipline. **Any denied applicants who want an explanation of the basis for denial must contact the Endowment no later than 30 days after the official notification.**

Applicants are welcome to attend meetings of the National Council on the Arts and open policy sessions of advisory panel meetings.

SITE VISITS

The Arts Endowment arranges, at its discretion, for discussions or site visits with some applicants as a part of the review of applications. Generally, a site reporter meets with organization representatives and sees a production. The information that is gathered is one of a number of items that is considered during the review of applications. Applicants may be asked to provide two complimentary tickets for the purpose of project and organizational evaluation. For further information, see the Special Application

Requirements on pages 21-31. Applicants for Musical Theater or Theater projects should pay special attention to the information on page 29, as the requirements have changed.

CHANGES IN PROJECTS

Applicants must notify the Endowment immediately of any significant changes in their project (including changes in consortium members) that occur after they have submitted their application. If the project changes significantly before an award is made, any funding recommendation may be revised or withdrawn.

Grantees are expected to carry out a project that is consistent with the proposal that was approved for funding by the Arts Endowment. If changes in the project are believed to be necessary, the grantee must send a written request, with justification, prior to the expenditure of grant funds to the Endowment’s Grants & Contracts Office. Approval is not guaranteed.

GENERAL TERMS & CONDITIONS

Federal and agency requirements that relate to grants awarded by the National Endowment for the Arts are highlighted in our General Terms & Conditions, which is sent to all grantees in the grant award package. It also is available from the Arts Endowment’s World Wide Web site at www.arts.gov. Included is information on U.S. Office of Management and Budget (OMB) requirements, matching funds, reporting requirements, and lobbying prohibitions.

OTHER ARTS ENDOWMENT PROGRAMS OF INTEREST

For general background information on the Arts Endowment, refer to our World Wide Web site at www.arts.gov or call 202/682-5400. In addition to the funding outlined in this guideline booklet, the

Endowment offers assistance through special initiatives, a few of which are listed below:

■ **Challenge America** is a new Arts Endowment initiative to strengthen families, communities, and our nation through the arts. In FY 2001, the Endowment will award Challenge America Fast Track Grants of \$5,000 or \$10,000 in rural or underserved areas to address the Challenge America priority areas of **Positive Alternatives for Youth** and **Community Arts Development**. Key to this initiative are the strengthening of existing and the formation of new partnerships, particularly those that bring together artists and arts organizations with sectors outside the arts. Challenge America Fast Track Grants will use a simplified application and expedited application review. NOTE: ArtsREACH and Creative Links have been discontinued as separate initiatives; their principles have been incorporated into Challenge America Fast Track grants. Organizations that were considering an application to ArtsREACH or Creative Links in FY 2001 now should apply to Challenge America. For guidelines and application information, contact the Challenge America staff at 202/682-5700.

■ **Partnership Agreements** assist the state and jurisdictional arts agencies and their regional organizations.

■ **Leadership Initiatives** support projects that advance the arts significantly, and that have demonstrable national or field-wide importance. Organizations considering such projects should contact the Endowment's Leadership Coordinator at 202/682-5489.

■ **The Arts on Radio and Television** supports significant arts programs that are intended for national broadcast on television or radio. An organization may apply under both The Arts on Radio and Television and Grants to Organizations, but may not submit or be a consortium member in more than two applications for FY 2002 funding between these two

programs. For guidelines and application information, contact the Media Arts staff at 202/682-5452.

■ **The New Public Works Initiative** makes a limited number of grants for design competitions to stimulate excellence in design in the public realm. For guidelines and application information, contact the Design staff at 202/682-5452.

■ **The Mayors' Institute on City Design** provides an opportunity for mayors and design professionals to work together to address design and development issues. For information, contact the Design staff at 202/682-5452.

■ **The Arts and Artifacts Indemnity Act of 1975** (20 U.S.C. 971) authorizes federal indemnification for international exhibitions. There are two deadlines each year: October 1 and April 1. For guidelines and application information, contact the Indemnity Administrator at 202/682-5452.

■ **Literature Fellowships** (poetry and prose, and the translation of each). For guidelines and application information, contact the Literature staff at 202/682-5787 or 682-5771.

■ **American Jazz Masters Fellowships.** Fellowships are awarded on the basis of nominations. For information, contact the Music staff at 202/682-5590 or 682-5487.

■ **National Heritage Fellowships in the Folk & Traditional Arts.** Fellowships are awarded on the basis of nominations. For information, contact the Folk & Traditional Arts staff at 202/682-5678 or 682-5726.

■ **Civil Rights and Access for Individuals with Disabilities.** The Arts Endowment's Office for AccessAbility assists applicants in making access for individuals with disabilities an integral part of their planning for both programs and facilities. For more information, contact the Office for AccessAbility at 202/682-5532 or 202/682-5496 Voice/T.T. The Endowment's Office of Civil Rights at 202/682-5454

or 202/682-5695 Voice/T.T. is available to investigate complaints about compliance with accessibility standards as well as other federal civil rights statutes. For inquiries about limited English proficiency, contact the Office of General Counsel at ogc@arts.endow.gov or 202/682-5418.

■ **Federal Agency Partnerships.** The Arts Endowment develops annual partnership initiatives with other agencies such as the Department of Justice, the Department of Education, etc., to address mutual goals. Please check the Endowment's Web site for current opportunities.

STANDARDS FOR SERVICE

The Arts Endowment has set the following standards for serving applicants. We pledge to:

- Treat you with courtesy and efficiency.
- Respond to inquiries and correspondence promptly.
- Provide clear and accurate information about our policies and procedures.

- Provide timely information about funding opportunities and mail available guidelines promptly.
- Promptly acknowledge the receipt of your application.
- Ensure that all eligible applications are reviewed thoughtfully and fairly.

We welcome your comments on how we are meeting these standards. Please address them to: Standards for Service Coordinator; Room 628; National Endowment for the Arts; Nancy Hanks Center; 1100 Pennsylvania Avenue, NW; Washington, DC 20506-0001; phone: 202/682-5408; e-mail: webmgr@arts.endow.gov, attention: Standards for Service.

For questions about these guidelines or your application, contact the Arts Endowment staff for the field/discipline which is most appropriate for your project. See page 13.

How to Apply

Follow the instructions below. **Make certain that your application package is complete and as specific as possible.** **NOTE:** The Arts Endowment may request additional information if needed for review.

Please review the “Frequently Asked Questions” in the Grants to Organizations section of Guidelines & Applications on the agency’s Web site for more detailed advice on how to submit a competitive application.

To help us prepare your application for panel review, and because panelists must be able to read a substantial amount of material easily:

- Type all application material. Use black type and at least a 12 point font.
- **Do not reduce or condense type or line size; leave space between paragraphs in narrative material.**
- Submit all material (excluding work samples) on 8-1/2 inch by 11 inch white paper. Do not use colored paper. Narrative material (excluding the Application Forms) must have margins of at least one inch on the top, bottom, and sides of all pages.
- When photocopying material, copy on one side only. **Do not submit two-sided copies.**
- Use only paper clips and rubber bands to fasten your material. **Do not bind or staple material.**

If you are submitting more than one application (e.g., one on your own behalf and one as the lead applicant for a consortium or as a fiscal agent for another group), send each in a **separate package**.

Send your application package to:

Office of Information and Technology Management
Room 815

[Goal/Field or Discipline under which you are applying, e.g., Access/Museums (see “Project Field/Discipline Instructions” on page 20)]

National Endowment for the Arts

Nancy Hanks Center

1100 Pennsylvania Avenue, NW

Washington, DC 20506-0001 (Overnight Mail Zip Code: 20004)

If **new** information that significantly affects your application (including changes in artists) becomes available after the deadline, please send that information immediately to the specialist for the appropriate field/discipline. **Include your application number on any such submissions;** your application number will be provided on the Application Acknowledgment Card that the Endowment will send you upon receipt of your application package.

Please submit your application material in the order and format noted below. Use the [Application Checklist](#) on page 54 to make sure that all required material has been included in your package. You do not need to include the Checklist in your application package. Be sure to make a copy of all application material for your records.

1. The completed [Application Acknowledgment Card](#) from the inside back cover of these guidelines or a self-addressed postcard.

The guidelines on our Web site do not include the Application Acknowledgment Card. If you use the on-line version, please self-address a postcard and include it with your application. The Endowment will complete the postcard and return it to you in lieu of an Application Acknowledgment Card.

2. One copy of a letter from the Internal Revenue Service (IRS) that reflects the applicant's current IRS status and legal organization name, or of the official document that identifies the applicant as a unit of state or local government, or as a federally recognized tribal community or tribe. **Local arts agencies applying for subgranting projects also must include a copy of the city/county ordinance, resolution, charter, or contract** that assigns them the authority to operate on their local government's behalf.

For a lead applicant that applies on behalf of a consortium, submit **one copy** of documentation for each consortium member.

3. The original (i.e., a set with original signatures) **and two copies** of the Application Forms on pages 32-44 and 50-53. Instructions for completing each form are on the form or on the page opposite the form in this booklet. When you photocopy your two copies of the completed Application Forms, be sure to copy only the forms and not the instruction pages.

Application forms that can be filled out on a computer are available on the Arts Endowment's World Wide Web site at www.arts.gov. Application forms also may be reproduced on a computer, but they must be accurate replicas of the actual forms. Do not add pages. Failure to prepare and format an application correctly may lead to rejection. **All completed application forms must be mailed to the Arts Endowment in hard copy format as part of the application package; the Endowment does not yet accept applications electronically.**

4. Two copies of brief, current biographies (**one-half page** maximum for each bio) of the key project-related personnel [e.g., the proposed primary artist(s), project director, artistic director, curator, editor, folklorist, conductor, etc.]. Send no more than **two pages** of bios; group several on one page. Do **not** substitute resumes for the required biographies. However, if your project involves highly technical professionals (e.g., individuals who work

with new technology, art conservators, etc.), submit **two copies** of resumes (not bios) for those individuals.

For a parent organization that applies on behalf of an eligible component, also submit **two copies** of a list of key staff of the component unit, and describe any overlaps in staffing with the parent organization.

5. Two copies of a list of current board members including professional affiliations.

For a parent organization that applies on behalf of an eligible component, submit **two copies** of a list of board/advisory group members for the component and for the parent organization. Note how long each board/advisory group has been in existence.

For a lead applicant that applies on behalf of a consortium, submit **two copies** of a list of current board members for each consortium member.

6. Two copies each of sample programs, brochures, calendars, catalogues, or other promotional material for the previous and current seasons.

For a parent organization that applies on behalf of an eligible component, submit brochures or other printed material that document the identity of the component as distinct from the parent organization.

7. Two copies of a representative list, in chronological order, of your organization's programming or recent activities for the following years: 1998-99, 1999-2000, 2000-01. For festivals, or other organizations that schedule activities according to a single calendar year, use programming for 1998, 1999, and 2000.

This list should demonstrate your eligibility (i.e., three-year history of programming) and the artistic excellence and merit of your organization. If available, include programming that has a relationship to the project for which you are requesting support (e.g., submit examples of previous festival programming if your project is for a festival). Provide

this information on **one page**, if possible; however, you may submit a maximum of **three pages** total.

For most applicants, this list should show selected artists/projects/exhibitions/works that your organization has or will have presented/produced/exhibited/performed. Use the bullets below as a guide to possible column headings for your list; adjust them as appropriate for your organization. (See example below.)

- Titles of the works/productions/exhibitions, etc.
- Creator(s): choreographer, composer, playwright, artist, designer, etc.
- Other key artists: director, conductor, etc.
- Performing company(ies) or primary performer(s) or artist(s).
- Dates, location(s), and the number of public performances/events/exhibitions. (Include attendance figures where available.)
- Fees paid to artists/companies. (Use average or aggregate fees where appropriate.)
- For Musical Theater and Theater projects, include actors' average weekly salary for rehearsals and performances for the 2000-2001 season.

If the suggested column headings and example below are not appropriate in your case, provide this information in a format that works for your organization.

Example:

A performing arts group might format its representative list as follows:

Title/Creator	Key Artist(s)	Location	Dates/# Perfs.	Attendance	Fees
Work A/Creator A	John Red, Jane White	Civic Theater	Jan 27–31, 2000/6 perfs.	450	\$\$
Work B/Creator B	Richard Blue, Robert Brown	Civic Theater	April 17–21, 2000/7perfs.	500	\$\$

8. Two copies of evidence of commitment/letters of support for the project by all collaborating organizational partners or primary creative artists in the project, where relevant. Do not provide general letters of support for your organization. Letters of support should clearly indicate how the project will serve the beneficiaries. For residency and touring projects, provide evidence of commitment/interest from the host and other collaborating organizations. (Provide a sampling of letters if your project involves more than five other organizations.)

If your application is for a **consortium project**, have each member of the consortium complete the Consortium Member Information Form on page 48 instead of a letter. You may provide a photocopy of the blank form to each consortium member; consortium members may obtain a copy of this form from the Arts Endowment's World Wide Web site at www.arts.gov; or consortium members may reproduce this form on their computers. **Two copies** of a completed form from each consortium member, including all required signatures, must be included in the application package for the application to be considered complete.

9. If your project is based on copyrighted material, two copies of a signed statement that documents the clearance of rights for this particular project or publication.

10. If you are submitting work samples (see Item 11 on page 20), **two copies** (**three copies** for Music

and Opera projects) of the Work Sample Index on page 46. See also “How to Submit Work Samples” on page 47.

11. The Special Application Requirements on pages 21-31. Follow the instructions for the field/discipline that is most relevant to your project. To determine the appropriate field/discipline, please read carefully the “Project Field/Discipline Instructions” below. See also “How to Submit Work Samples” on page 47.

PROJECT FIELD/DISCIPLINE INSTRUCTIONS

Each applicant is asked to determine the **one field or discipline that is most relevant to its project** and to indicate this on the application form. This selection will determine the Special Application Requirements and will aid the Endowment’s application review.

For **Arts Learning Applicants** only: Select the one field or discipline from the list below that is most relevant to your project, and indicate that selection on your application form. However, follow the Special Application Requirements for Arts Learning on page 22, **not** for the field or discipline that you select. Arts Learning applications will be reviewed by multidisciplinary panels composed of field/discipline experts, artists, educators, and youth program providers.

The list below is not in alphabetical order. Please read each possible selection **in order** and select the **first** one that is most relevant to the primary purpose of your project. If you have questions, refer to the telephone listing on page 13.

- **Media Arts**
- **Folk & Traditional Arts** (including folk & traditional arts projects in any art form)
- **Local Arts Agencies** (including projects in any discipline that are submitted by a local arts agency that involves, on a regular basis, programming in

more than one art form; or a state-wide assembly of local arts agencies)

- **Museums** (including projects in any discipline that are submitted by a museum)
- **Presenting** (multidisciplinary presenting projects only)
- **Multidisciplinary** (interdisciplinary collaboration and projects that involve more than one discipline)
- **Dance** (including dance presentation)
- **Design** (including architecture, urban design, landscape architecture, planning, product design, graphic design, clothing design, and interior design)
- **Literature**
- **Music** (including music presentation)
- **Musical Theater**
- **Opera**
- **Theater** (including theater presentation)
- **Visual Arts**

The Special Application Requirements for each field/discipline are detailed on pages 21-31; they appear alphabetically by field/discipline and not in the order that is listed above.

In some cases, the Arts Endowment staff may transfer an application to a field/discipline other than the one that was selected by the applicant to ensure appropriate panel review. In such cases, applicants will be notified and given the opportunity to submit additional work samples and/or other material that may be required. The Arts Endowment will **not** transfer applications between goals.

SPECIAL APPLICATION REQUIREMENTS

These instructions outline the work samples and/or other required material that you should submit as part of your application package. This material is intended to demonstrate artistic excellence and merit, and to enhance the panel's understanding of your application and your organization's ability to carry out the project. Samples and material should be recent, of high quality, and as relevant to the project as possible. For example, applicants proposing:

- **To complete a work** should submit a sample of the work-in-progress.
- **Commissioning projects** should submit samples that provide an example(s) of work by the artist(s) involved in the proposed project.
- **Artists' community** or **artist residency** projects should submit work samples of selected artists' recent work and the facilities they will use. If the artists are not yet selected, submit samples of work by artists who recently have been in residence.
- **Group projects** or **collaborations** should submit samples that demonstrate the ability to do such a project.
- **Professional development** activities should submit a list of the names and current professional affiliations of professional development participants from the past two years.

Submit sample work in the format that is most relevant to your project; you do not have to submit everything (e.g., slides and an audio cassette and a video, etc.) that is listed for your project's field/discipline. **Work samples may be digitized to facilitate panel review.**

ARTS LEARNING PROJECTS

(all applicants under the Arts Learning goal; see page 20)

Include in the “Details of the Project” narrative, a description of the artistic process that will be used in the project.

Submit samples of children/youth work, as well as artist and teacher work.

For applicants that select Musical Theater or Theater as a discipline on the application form, submit work samples that are relevant to your project and represent work with children or youth. Refer to the information regarding site visits on page 29 for evaluation of production work.

SLIDES

Two copies of up to 12

AUDIO CASSETTE, CD, OR DAT

Two copies

VHS OR 3/4" VIDEO CASSETTE, OR CD-ROM

Two copies

PUBLICATIONS

Two copies

OTHER

As appropriate, **two copies** of: sample lesson plans, teachers’ guides, sample curricula, syllabi, or program evaluation methods; can be in print or CD-ROM format

For Web sites, **two copies** of a disk that contains up to five pages to be shown, or the URLs for pages to be shown

DANCE PROJECTS

(including dance presentation)

VHS OR 3/4" VIDEO CASSETTE, OR CD-ROM

For dance companies only, **one copy** of unedited performances by your company that took place within the past two years and excerpt(s) of proposed artist(s) or work(s), as appropriate. Cue to the start of the dance sample; submit no more than three cues. Do not send promotional tapes.

For projects to complete a work, submit a sample of the work-in-progress

For dance presenters, do not submit work samples unless requested by Endowment staff

Submit only samples that are relevant to the type of project that you are proposing; you do not have to submit all of the samples listed. **NOTE:** See pages 17-20 for a listing of other required application material.

DESIGN PROJECTS

(including architecture, urban design, landscape architecture, planning, product design, graphic design, clothing design, and interior design)

SLIDES

One copy of up to 20; a slide script must be attached to the slide sleeve (see page 47). The slide script should provide a brief description of each work (up to three sentences), that includes how the image relates to the project.

VHS OR 3/4" VIDEO CASSETTE, OR CD-ROM

One copy; include cue/file information, or real elapsed time, that indicates the start of each selection. The work sample should be a maximum of two minutes.

PUBLICATIONS

For periodicals, **four copies** of recent issues

For all other publications, **one copy** of two recent publications

OTHER

One copy of:

For Web sites, one disk that contains up to five pages to be shown, or the URLs for pages to be shown

For exhibitions, a working checklist with designer, title, date, size, medium, lender, and lender's degree of commitment. If touring, a list of venues with dates.

For preservation or conservation of an object, site, or structure, a condition report and a treatment proposal

For publications/periodicals/catalogues/monographs (as appropriate), sample text, if available, or short writing samples (up to two pages); a list of proposed articles and committed writers; total print run, production schedule, distribution plans, # of pages, sales price; contributors' fees and payment schedule

For design and planning projects of all kinds (as appropriate), drawings, renderings, and other visuals no larger than 11" x 14"; do not send original material

FOLK & TRADITIONAL ARTS PROJECTS

SLIDES

One copy of up to 20 that demonstrate quality of artistic content and/or technical ability, as appropriate

AUDIO CASSETTE, CD, OR DAT

One copy that demonstrates quality of artistic content and/or technical ability, as appropriate

VHS OR ³/₄" VIDEO CASSETTE, OR CD-ROM

One copy that demonstrates quality of artistic content and/or technical ability, as appropriate

PUBLICATIONS

One copy that demonstrates quality of artistic content and/or technical ability, as appropriate

OTHER

One copy of:

For media projects, a proposed treatment of the subject

For exhibitions, a one-page detailed exhibition plan

For multi-faceted projects, a separate budget breakdown detailing the allocation of funds for each component

LITERATURE PROJECTS

SLIDES

If applicable, **one copy** of up to 12

AUDIO CASSETTE, CD, OR DAT

If applicable, **one copy**

VHS OR ³/₄" VIDEO CASSETTE, OR CD-ROM

If applicable, **one copy**

PUBLICATIONS

For publishing projects, **four copies** each of four publications that were issued by your organization within the last three years

OTHER

For magazines and presses, **one copy** of a one-page list of the projected sales figures, print runs, and your current payment to writers policy

For presses, **four copies** of five pages of manuscript from each proposed work

LOCAL ARTS AGENCIES PROJECTS

(including state-wide assemblies)

Applicants may find it helpful to refer to the Special Application Requirements for the discipline(s) that is most relevant to the project for guidance in selecting their work sample.

SLIDES

One copy of up to 12

AUDIO CASSETTE, CD, OR DAT

One copy

VHS OR ³/₄" VIDEO CASSETTE, OR CD-ROM

One copy

Submit only samples that are relevant to the type of project that you are proposing; you do not have to submit all of the samples listed. **NOTE:** See pages 17-20 for a listing of other required application material.

MEDIA ARTS PROJECTS

Provide specific examples of previous activities that demonstrate your ability to carry out the project (i.e., workshops/residencies previously conducted, films preserved, programs produced, artists served, etc.).

Include in the “Details of the Project” narrative, as appropriate:

For film/tape preservation, a description of each work that is to be preserved, its artistic significance, its physical condition, the methods of preservation, and plans for access to the material

For distribution, a description of the criteria for film/tape selection, and rights and revenues agreement with artists

For production facilities and residencies, a description of the facility, how artists are made aware of it, and highlights of some recently produced projects

AUDIO CASSETTE, CD, OR DAT

One copy

For production projects, if you submit a work-in-progress, also submit a completed work by the person(s) with primary artistic responsibility

For production facilities, submit two samples of work recently completed at your organization

VHS OR 3/4" VIDEO CASSETTE, OR CD-ROM

One copy

For production projects, if you submit a work-in-progress, also submit a completed work by the person(s) with primary artistic responsibility

For production facilities, submit two samples of work recently completed at your organization

PUBLICATIONS

Four copies of the two most recent issues

OTHER

Three copies of:

For narrative projects, the screenplay and a one-page plot synopsis

For exhibition projects, a two-page detailed list of your proposed exhibition program

For touring, a one-page list of venues with dates and the degree of commitment

For workshops/residencies/conferences/seminars, a list of the proposed activities and the names of the participants

For publications/periodicals/catalogues (as appropriate), sample text; a list of proposed articles and committed writers; total print run, production schedule, distribution plans, # of pages, sales price; contributors’ fees and payment schedule

For Web sites, a disk that contains up to five pages to be shown, or the URLs for pages to be shown

MULTIDISCIPLINARY PROJECTS

(interdisciplinary collaboration and projects that involve more than one discipline)

Multidisciplinary applicants must submit samples in **at least two** art forms.

SLIDES

One copy of up to 12; a slide script must be attached to the slide sleeve (see page 47). The slide script should provide a brief description of each work (up to three sentences), that includes how the image relates to the project.

AUDIO CASSETTE, CD, OR DAT

Two copies; cue to the start of the sample to be reviewed, and include cue information on the Work Sample Index

VHS OR 3/4" VIDEO CASSETTE, OR CD-ROM

Two copies; cue to the start of the sample or list the files to be reviewed, and include cue/file information on the Work Sample Index

PUBLICATIONS

Three copies

OTHER

As appropriate, **three copies** of up to 15 pages of a literary sample

For Web sites, **two copies** of a disk that contains up to five pages to be shown, or the URLs for pages to be shown

Submit only samples that are relevant to the type of project that you are proposing; you do not have to submit all of the samples listed. NOTE: See pages 17-20 for a listing of other required application material.

MUSEUM PROJECTS & VISUAL ARTS PROJECTS

Slides are preferred as work samples; however, submit other types of work samples as appropriate to your project.

Include in the “Details of the Project” narrative, as appropriate:

For planning projects in all areas, a work plan and schedule

For residency or commissioning projects, a description of the proposed working process

For conservation projects, a description of how the project fits within the overall exhibition schedule and collection maintenance plans

Provenance research is an eligible project expense, as is the purchase of works of art by living American artists.

SLIDES

One copy of up to 20 for a single applicant/up to 30 for a consortium project

For reinstallations, include slides of the existing galleries

For catalogues, include slides of the objects to be included

For public art projects, include slides of the site and the project, if available

AUDIO CASSETTE, CD, OR DAT

One copy

VHS OR 3/4" VIDEO CASSETTE, OR CD-ROM

One copy

PUBLICATIONS

For periodicals, **four copies** of recent issues

For all other publications, **one copy** of two recent publications

OTHER

One copy of:

For exhibitions (organizing or borrowing), a working checklist with artist, title, date, size, medium, lender, and lender’s degree of commitment. If touring, a list of venues with dates.

For reinstallations, a proposed floor plan of the new configuration and bios of outside consultants

For public art projects, evidence of permission to use the site

For conservation (only objects owned by the applicant are eligible), a condition report and a treatment proposal (one-page maximum each) signed and dated by the proposed conservator

For publications/periodicals/catalogues (as appropriate), sample text; a list of proposed articles and committed writers; total print run, production schedule, distribution plans, # of pages, sales price; contributors’ fees and payment schedule

For Web sites, one disk that contains up to five pages to be shown, or the URLs for pages to be shown

For digital material, one PC formatted disk that contains jpeg images

MUSIC PROJECTS

(including music presentation)

CDs are preferred as work samples; however, submit other types of work samples as appropriate to your project.

CD OR AUDIO CASSETTE

Three copies of a 15-25 minute composite recording of unedited performances of at least two contrasting works that are typical of the repertoire performed or presented by your organization within the past two years. Also include, as appropriate, excerpt(s) of proposed artist(s) or work(s) to be performed or presented. If not already included, any additional works that are relevant to your proposed project.

DAT format is not accepted.

For projects that involve the creation of work, include samples of work by the creative artist(s)

If you are applying for a consortium project, provide **three copies** of a composite CD or audio cassette from **each** consortium member.

VHS OR 3/4" VIDEO CASSETTE, OR CD-ROM

As appropriate, **three copies**

OTHER

Two copies of:

For professional development activities, a list of the names and current professional affiliations of participants from the past two years

Submit only samples that are relevant to the type of project that you are proposing; you do not have to submit all of the samples listed. NOTE: See pages 17-20 for a listing of other required application material.

MUSICAL THEATER PROJECTS & THEATER PROJECTS

(including theater presentation)

Do not submit work samples (e.g., video or audio cassettes, slides, scripts, etc.), except for applicants under the Arts Learning goal (see page 22).

If your project is based on copyrighted material, you must have the rights secured by the application deadline (see item 9 on page 19).

SITE VISITS

As of the FY 2002 application year, all applicants to Musical Theater or Theater (including those under the Arts Learning goal) must have received at least one site visit within the three years prior to April 30, 2001 to be considered for support. Prospective first-time applicants and those who have not applied in the last three years must send a brief letter of intent to apply to the Director of Musical Theater and Theater. The letter of intent must include 1) the goal under which you will be applying; 2) confirmation of your organization's three-year history of programming prior to the application deadline; 3) confirmation of your organization's nonprofit, tax-exempt status; and 4) a contact person and telephone number for the scheduling of a site visit. A site visit will be arranged following receipt of the letter.

Applicants should submit their letter of intent as soon as possible after receiving these guidelines. An organization that plans to apply under the March 26, 2001 application deadline must submit its letter of intent postmarked no later than March 1, 2001; these site visits will be completed by April 30, 2001. An organization that plans to apply under either the May 14 or August 13, 2001 application deadline must submit its letter of intent postmarked no later than April 1, 2001; these site visits will be completed by July 31, 2001.

Organizations that applied to Musical Theater or Theater in FY 2001 should not send a letter of intent. All Musical Theater or Theater companies that applied in the prior year are contacted automatically regarding a site visit.

OTHER

Two copies of:

For all projects, a one-page signed statement from the Artistic Director that discusses the reasons for the project's selection and its relationship to the artistic vision of the organization

For projects that involve the creation of work, a one-page statement written by the primary creative artists with responsibility for the project

For touring, a tentative touring itinerary and roster of companies/works/activities for which support is requested

For professional development activities, a list of the names and current professional affiliations of participants from the past two years

For publications/periodicals/catalogues (as appropriate), two works published by your organization that are similar to the project; sample text; a list of proposed articles and committed writers; total print run, production schedule, distribution plans, # of pages, sales price; contributors' fees and payment schedule

OPERA PROJECTS

Video cassettes are preferred as work samples; however, submit other types of work samples as appropriate to your project.

VHS OR 3/4" VIDEO CASSETTE, OR CD-ROM

Three copies of:

For all projects, a 20 minute composite recording of performances that took place within the past two years which have relevance to the project

For projects that involve the creation of work, include samples of work by the creative artist(s)

For touring projects, include samples of touring activities in addition to mainstage performances

AUDIO CASSETTE OR CD

If a video cassette is not available, **three copies** of a 20 minute composite recording of performances that took place within the past two years which have relevance to the project

For projects that involve the creation of work, include samples of work by the creative artist(s)

For touring projects, include samples of touring activities in addition to mainstage performances

DAT format is not accepted

SLIDES

One copy of up to 12

OTHER

Two copies of:

For all projects, a one-page signed statement from the Artistic Director that discusses the reasons for the project's selection and its relationship to the artistic vision of the organization

For projects that involve the creation of work, a one-page statement written by the primary creative artists with responsibility for the project, and samples from the score and libretto

For professional development activities, a list of the names and current professional affiliations of participants from the past two years

SITE VISITS

The Endowment will make every effort to see that a site visit is made to your organization. To schedule site visits, applicants who did not apply for an Opera project in FY 2001 (in March or August 2000) **must** send a letter of intent to the Opera staff as soon as possible after receiving these guidelines, but post-marked no later than February 13, 2001. Your letter of intent must include 1) the goal under which you will be applying; 2) a copy of your organization's IRS determination letter confirming your nonprofit, tax-exempt status; 3) a listing of your organization's three-year history of programming for 1998-99, 1999-2000, 2000-01; 4) your performance schedule through August 31, 2001; and 5) the name of a contact person and telephone number. NOTE: Site visits generally will not be scheduled for applicants under the Arts Learning goal.

Submit only samples that are relevant to the type of project that you are proposing; you do not have to submit all of the samples listed. NOTE: See pages 17-20 for a listing of other required application material.

PRESENTING PROJECTS

(multidisciplinary presentation only)

SLIDES

One copy of up to 12; a slide script must be attached to the slide sleeve (see page 47). The slide script should provide a brief description of each work (up to three sentences), that includes how the image relates to the project.

AUDIO CASSETTE, CD, OR DAT

Two copies; cue to the start of the sample to be reviewed, and include cue information on the Work Sample Index

VHS OR 3/4" VIDEO CASSETTE, OR CD-ROM

Two copies; cue to the start of the sample or list the files to be reviewed, and include cue/file information on the Work Sample Index

OTHER

For Web sites, **two copies** of a disk that contains up to five pages to be shown, or the URLs for pages to be shown

Basic Information, Part I

OMB No. 3135-0112
Expires 07/31/2003

Is this your first application to the Arts Endowment? ☐ No ☐ Yes

If no, please check here if your name or address has changed since your last application: ☐

Have you received a federal grant before? ☐ No ☐ Yes

Applicant (official IRS name):

Mailing Address:

Street Address (if different):

Taxpayer ID Number (9-digit number):

Goal (check one):

MARCH 26, 2001 DEADLINE

- ☐ Creativity: Creation and presentation of artistic work, and development of professional artists. (5)
☐ Organizational Capacity (Services to the Field): Developing strong and valued arts organizations. (9)

MAY 14, 2001 DEADLINE

- ☐ Arts Learning: Children and youth learning in and through the arts. (8)

Also choose a focus area:

- ☐ Pre-K through 12 Arts Learning ☐ Youth Arts

AUGUST 13, 2001 DEADLINE

- ☐ Access: Access to the arts for all. (4)
☐ Heritage/Preservation: Preservation of our cultural heritage. (6)

Project Field/Discipline (check one; see page 20):

- | | | | |
|---|---|---|---|
| <input type="checkbox"/> Media Arts (34) | <input type="checkbox"/> Presenting (54) | <input type="checkbox"/> Literature (52) | <input type="checkbox"/> Opera (36) |
| <input type="checkbox"/> Folk & Traditional Arts (55) | <input type="checkbox"/> Multidisciplinary (70) | <input type="checkbox"/> Music (31) | <input type="checkbox"/> Theater (32) |
| <input type="checkbox"/> Local Arts Agencies (62) | <input type="checkbox"/> Dance (33) | <input type="checkbox"/> Musical Theater (28) | <input type="checkbox"/> Visual Arts (41) |
| <input type="checkbox"/> Museums (44) | <input type="checkbox"/> Design (42) | | |

Project Director First: Last: (Check one) ☐ Mr. ☐ Ms.

Title: E-mail:

Telephone: () ext. Fax: ()

I certify that the information contained in this application, including all attachments and supporting material, is true and correct to the best of my knowledge. I also certify that the applicant is in compliance with the federal requirements specified under "Assurance of Compliance" on pages 55-57.

1. Authorizing Official First: Last: (Check one) ☐ Mr. ☐ Ms.

Title: E-mail:

Telephone: () ext. Fax: ()

Signature of Authorizing Official: Date: / /

Optional:

2. Additional Authorizing Official First: Last: (Check one) ☐ Mr. ☐ Ms.

Title: E-mail:

Telephone: () ext. Fax: ()

Signature of Additional Authorizing Official: Date: / /

Instructions for the Basic Information Form, Part I

APPLICANT: Type your organization's name and address in the spaces provided. The name provided here and at the top of each page must be identical to the applicant's legal name in the IRS determination letter for tax-exempt status or in the official document that identifies the organization as a unit of state or local government, or as a federally recognized tribal community or tribe. If you indicate that your name has changed, you must provide the IRS documentation that proves this. If the applicant uses a popular name that is different, you may note that name in parentheses after the IRS name.

If you are a fiscal agent or a parent organization that is applying on behalf of a sponsored organization or component, do not list the name of the sponsored organization or component here; you will be asked to provide it in the section "For this application, the applicant is serving as a" on page 34. For example, a parent organization that is applying on behalf of a component would list its name here ("State University"), and the name of the sponsored organization ("ABC Performing Arts Center") on page 34.

TAXPAYER ID NUMBER: Also known as "Employer Identification Number." Enter the 9-digit number that was assigned by the Internal Revenue Service; do not use a Social Security Number.

GOAL: Check the **one** goal that is most relevant to your project. Refer to the Application Calendar on the inside front cover of these guidelines for the deadline dates for each goal. If you are applying under the Arts Learning goal, also choose a focus area:

- **Pre-K through 12 Arts Learning:** For projects that involve learning in schools as part of the established curriculum and instructional program, and for activities that occur in or outside of school venues, before or after the school day or year, that are linked formally to the school program.
- **Youth Arts:** For arts learning projects outside of the regular school day and year that are offered by arts organizations or by youth or other community-based, non-arts organizations or agencies in partnership with artists and arts groups.

PROJECT FIELD/DISCIPLINE: Check the **one** field/discipline that you selected in accordance with the "Project Field/Discipline Instructions" on page 20.

AUTHORIZING OFFICIAL(S): Provide this information for the official of the applicant organization who has the legal authority to obligate the organization. This individual should sign and date the form where indicated. If the applicant is a component of a college or university, make sure that your application is authorized and submitted by the appropriate college/university office, e.g., the sponsored projects office.

If you are awarded a grant, the authorizing official(s) identified on your application can sign payment requests, requests to amend the grant, and final reports. If your organization wishes to identify more than one authorizing official for this project, please provide the information requested under "2. Additional Authorizing Official" and have the second authorizing official sign in the space provided.

Basic Information, Part 2

OMB No. 3135-0112
Expires 07/31/2003

Read the instructions on page 35 before you start.

Applicant (official IRS name):

City, State:

World Wide Web Address:

Responsibility for organization and project

Enter the name and title of the individual(s) with primary artistic and managerial responsibility for:

The organization: Artistic:

Managerial:

The project: Artistic:

Managerial:

Summary of project

For this application, the applicant is serving as a (check if applicable; otherwise leave blank):

☐ Lead Member of a Consortium ☐ Fiscal Agent ☐ Parent of a Component

If you have checked one of the boxes above, list here the members of your consortium (other than the lead applicant), or the group or entity on whose behalf you are applying:

Period of Support (e.g., 06/01/02 to 12/31/03): From: / / To: / / Number of Months:

Project Budget Summary:

Amount Requested \$ _____

PLUS

Total match for this project + _____

MUST EQUAL

Total Project Costs \$ _____

Total organizational operating expenses for the most recently completed fiscal year: \$ _____

(restatement of the "Total Expenses" listed on the Financial Information form on page 44)

For year ending (month/year): /

Instructions for the Basic Information Form, Part 2

RESPONSIBILITY FOR ORGANIZATION AND PROJECT:

Enter the name and title of the individual(s) who have primary artistic and managerial responsibility for your organization and your project. You may enter more than one name if responsibility is shared equally.

SUMMARY OF PROJECT: In this space, briefly describe how you plan to use the Arts Endowment and matching funds. Be specific about the PROJECT for which you are requesting support. Do NOT describe your organization.

FOR THIS APPLICATION, THE APPLICANT IS SERVING AS A (check if applicable; otherwise leave blank):

See pages 5-6 for definitions.

■ **Lead member of a consortium.** Check the "Lead Member of a Consortium" box and list your consortium members (other than the lead applicant) in the space provided. Use the official IRS names of the consortium members. For a component of a parent organization, such as an art museum located on a university campus, note the official IRS name and place the component's name in parenthesis, e.g., State University (ABC Art Museum).

■ **Fiscal agent for another organization.** Check the "Fiscal Agent" box and enter the name of the group on whose behalf you are applying in the space provided. Unless otherwise noted, items that relate to the official applicant should refer to the fiscal agent.

■ **Parent institution applying on behalf of an eligible separate component.** Check the "Parent of a Component" box and enter the name of the component in the space provided. Unless otherwise noted, items that relate to the official applicant should refer to the parent organization.

PERIOD OF SUPPORT is the span of time that is necessary to plan, execute, and close out your project. Use two-digit numerals, e.g., 06/01/02 to 12/31/03 for June 1, 2002 through December 31, 2003. The Endowment's support of a project may start no sooner than the "Earliest Beginning Date for Endowment Period of Support" listed on the Application Calendar on the inside front cover of these guidelines. A grant period of up to two years is allowed.

NUMBER OF MONTHS: Enter the number of months that your "Period of Support" will encompass.

PROJECT BUDGET SUMMARY:

■ **Amount Requested:** Be sure that this is the same as the "Amount requested from the Arts Endowment" listed on page 40.

■ **Total match for this project:** This is a restatement of the "Total match for this project" listed on page 40.

■ **Total Project Costs:** This is a restatement of the "Total project costs" listed on page 42.

TOTAL ORGANIZATIONAL OPERATING EXPENSES FOR THE MOST RECENTLY COMPLETED FISCAL YEAR:

Unaudited figures are acceptable. If you are the lead applicant for a consortium, provide this information for your own organization. If you are a fiscal agent or a parent organization, provide this information for the group or component on whose behalf you are applying. This item is a restatement of the "Total Expenses" listed on the Financial Information form on page 44.

Organizational Background

OMB No. 3135-0112
Expires 07/31/2003

Read the instructions on page 37 before you start.

Applicant (official IRS name):

Date organization was founded:	/	/	Date organization was incorporated:	/	/
Mission/purpose of your organization:					
Organization overview:					

Instructions for the Organizational Background Form

Complete in the spaces provided (one-page maximum). Do not continue on additional pages and do not type outside the boxes. Do not reduce type below 12 point font size; leave space between paragraphs. If you are a fiscal agent or a parent organization that is applying on behalf of a component, this information should refer to the group or component on whose behalf you are applying.

DATE ORGANIZATION WAS INCORPORATED: If not applicable, leave this blank.

MISSION/PURPOSE OF YOUR ORGANIZATION: Briefly summarize the mission and purpose of your organization. For organizations whose work extends beyond the cultural sphere, e.g., universities, human service agencies, etc., summarize your mission as it pertains to your public cultural programs and/or services.

ORGANIZATION OVERVIEW: Provide the following:

- a) An overview of your organization's activities.
- b) Some specific examples of previous activities that demonstrate your organization's ability to carry out the project for which you are requesting support.
- c) The size and general demographics (e.g., ethnicity, income, age, etc.) of the community/region/audience that you serve. If you are a membership organization, indicate the number of individuals and/or organizations that you serve.
- d) A description of any special efforts that your organization is making to reach a broad segment of the community.

Details of the Project

OMB No. 3135-0112
Expires 07/31/2003

Read the instructions on page 39 before you start. You may attach up to two additional pages if necessary.

Applicant (official IRS name):

Instructions for the Details of the Project Form

Type your narrative in the space provided; do not type outside the box. Do not reduce type below 12 point font size; leave space between paragraphs. The Endowment and its panelists prefer succinct narratives; however, you may attach up to two additional pages if necessary. Make sure that any additional pages are labeled clearly with your organization's name and have margins of at least one inch.

The information that you provide will be reviewed in accordance with the "Review Criteria" on pages 11-12. Your project narrative should address each of the "Review Criteria" and include information on the following, as relevant to your project:

- a) Major project activities. Discuss your goals in undertaking the project and the potential demonstrable results.
- b) Schedule.
- c) Artists, arts organizations, and works of art that will be involved in the project. (Bios of key project personnel are requested as a separate item; see item 4 on page 18.) Indicate whether the artists and organizations cited are committed to or merely proposed for the project. Where relevant, describe their involvement in the development of the project to date. Where key individuals or organizations remain to be selected, describe the procedures that you plan to follow and the qualifications that you seek.
- d) The location(s) of the proposed activity and any special resources that will be used.

e) The intended audience or other beneficiaries, and how they are expected to benefit. Estimate, to the extent possible, the number of people the project will serve. Describe any underserved groups or areas that will benefit. If your project is targeted to a specific population, describe your efforts to include that population in the planning for and implementation of the project.

f) Plans for promoting, publicizing, and/or disseminating the project.

g) Plans for documenting and/or evaluating the project.

h) Plans for making the project accessible to individuals with disabilities. (For technical assistance on how to make your project fully accessible, contact the Endowment's AccessAbility Office at 202/682-5532 or 202/682-5496 Voice/T.T. or the Civil Rights Office at 202/682-5454 or 202/682-5695 Voice/T.T.)

i) If the project has received previous Arts Endowment support, how the funds were used.

In addition, for **Arts Learning Applicants** only:

j) The outcomes that you have set for your project, and how the project will address the outcomes that the Arts Endowment hopes to achieve through Arts Learning. Identify the specific Endowment outcome(s) that your project will address from pages 10-11; your project does not have to address all of the outcomes listed. Describe how you will measure your progress in meeting the outcomes. Discuss plans for evaluation.

Project Budget

OMB No. 3135-0112
Expires 07/31/2003

Page 1 of 2. Read the instructions on page 41 before you start.

Applicant (official IRS name):

INCOME

1. Amount requested from the Arts Endowment:

\$

2. Total match for this project. Be as specific as possible. Asterisk (*) those funds that are committed or secured.

Cash (Refers to the cash donations, grants, and revenues that are expected or received for this project)

Amount

Total cash a. \$

Donated space, supplies, volunteer services (These same items also must be listed as direct costs under "Expenses" below or on page 42; identify sources)

Total donations b. \$

Total match for this project (a. + b.) \$

EXPENSES

1. Direct costs: Salaries and wages

Title and/or type of personnel	Number of personnel	Annual or average salary range	% of time devoted to this project	Amount
-----------------------------------	------------------------	-----------------------------------	--------------------------------------	--------

Total salaries and wages a. \$

Fringe benefits

Total fringe benefits b. \$

Total salaries, wages, and fringe benefits (a. + b.) \$

Instructions for the Project Budget Form

NOTE: Your Project Budget should reflect only those costs that will be incurred during the "Period of Support" that you indicate on page 34; do not include costs incurred before or after those dates. **Round all numbers to the nearest \$100.** Combine like costs if necessary to making rounding more realistic.

INCOME

1. AMOUNT REQUESTED FROM THE ARTS ENDOWMENT: Indicate the amount that you are requesting from the Arts Endowment. Organizations may request a grant amount between \$5,000 and \$150,000. Be realistic in your request.

2. TOTAL MATCH FOR THIS PROJECT: The Arts Endowment generally requires each applicant to obtain at least half the total cost of each project from non-federal sources. Matches of more than dollar for dollar are encouraged. Be as specific as possible. For consortium applications, or projects that include additional partners, indicate on the form the portion of the match that is being contributed by each participant. **Asterisk (*) those funds that are committed or secured.**

Cash match refers to the cash donations (including items or services that are provided by the applicant organization or consortium members), grants, and revenues that are expected or received for this project. Do not include any Arts Endowment or other federal grants that are anticipated or received. Identify sources.

Donated space, supplies, volunteer services (also known as **in-kind contributions**) are goods and services that are donated by individuals or organizations other than the applicant (or in the case of a consortium application, other than the applicant and the consortium members). **To qualify as matching resources, these**

same items also must be listed in the project budget as direct costs. The dollar value of these non-cash donations should be calculated at their verifiable fair-market value. Identify sources. Reminder: Proper documentation must be maintained for all items noted as "in-kind."

EXPENSES

DIRECT COSTS are those that are identified specifically with the project. For consortium applications, or projects that include additional partners, indicate on the form the portion attributed to each participant.

1. DIRECT COSTS: Salaries and wages cover compensation for personnel, administrative and artistic, who are paid on a salary basis. (Funds for contractual personnel and compensation for artists who are paid on a fee basis should be included in "3. Other expenses," and not here.) Indicate the title and/or type of personnel, the number of personnel, the annual or average salary range, and the percentage of time that will be devoted to the project. List key staff positions, and combine similar functions. Where appropriate, use ranges. (See example below.)

Salaries and wages for performers and related or supporting personnel must be estimated at rates no less than the prevailing minimum compensation as required by the Department of Labor Regulations. (See "Legal Requirements" on page 55.) Salaries and wages that are incurred in connection with fund raising are not allowable project expenses; do not include them in your budget.

Fringe benefits are those costs other than wages or salary that are attributable to an employee, as in the form of pension, insurance, etc. They may be included here only if they are not included as indirect costs.

EXAMPLE

Title and/or type of personnel	Number of personnel	Annual or average salary range	% of time devoted to this project	Amount
Executive Director	1	\$40,000 per yr.	10%	\$4,000
Archivists	3	\$20-25,000 per yr.	5-40%	\$15,000
Support Staff	2	\$15-20,000 per yr.	20-30%	\$9,000

Project Budget

OMB No. 3135-0112
Expires 07/31/2003

Page 2 of 2. Read the instructions on page 43 before you start.

Applicant (official IRS name):

EXPENSES, CONTINUED

2. Direct costs: Travel (include subsistence)

# of travelers	From	To	Amount
----------------	------	----	--------

Total travel \$

3. Direct costs: Other expenses (Include consultant and artist fees, honoraria, contractual services, sign-language interpretation, closed or open captioning, large-print brochures/labeling, telephone, photocopying, postage, supplies and materials, publication, distribution, translation, transportation of items other than personnel, rental of space or equipment, and other project-specific costs)

Amount

Total other expenses \$

4. Total direct costs (1.+2.+3.) \$

5. Indirect costs (if applicable):

Federal Agency:	Rate (%)	x Base	= \$
-----------------	----------	--------	------

6. Total project costs (4.+5.) \$

Instructions for the Project Budget Form

EXPENSES, CONTINUED

2. DIRECT COSTS: Travel must be estimated according to the applicant's established travel practice, providing that the travel cost is reasonable and does not exceed the cost of air coach accommodations. **Include subsistence costs as part of the "Amount" listed for each trip, as appropriate.**

Foreign travel, if any is intended, must be specified in this section and must conform with government regulations. If Arts Endowment funds are used for foreign travel, such travel must be booked on a U.S. air-carrier when this service is available.

3. DIRECT COSTS: Other expenses include consultant and artist fees, honoraria, contractual services, sign-language interpretation, closed or open captioning, large-print brochures/labeling, telephone, photocopying, postage, supplies and materials, publication, distribution, translation, transportation of items other than personnel, rental of space or equipment, and other project-specific costs. **List artist compensation here if artists are paid on a fee basis.**

Television broadcast projects and educational/interpretive videos must be closed or open captioned. Applicants should check with captioning organizations for an estimate.

If you intend to purchase any equipment that costs \$5,000 or more per item and that has an estimated useful life of more than one year, you must identify that item here and attach a written justification.

Group similar items together on a single line, with only one total cost. List consultant and artist fees, honoraria, or contracts for professional services on consecutive lines; do not scatter them throughout the list. Specify the number of persons and the applicable fee, rate, or amount of each. You may attach additional sheet(s) if necessary.

EXAMPLE

Artists (5 @ \$300–500 per week/30 weeks)	\$60,000
Consultants (2 @ \$150 per 1/2 day/1 day per mo./10 mos.)	\$6,000
Access accommodations (sign-language interpretation and audio description)	\$1,200
Costumes, props	\$6,500
Project supplies	\$4,000
Administration (rent, telephone, copying)	\$5,000

Do not include fund raising, entertainment or hospitality activities, fines and penalties, bad debt costs, deficit reduction, cash reserves or endowments, lobbying, marketing expenses that are not directly related to the project, contingencies, miscellaneous, or costs incurred before the beginning of the official grant period.

4. TOTAL DIRECT COSTS is the total of all direct cost items listed in "1. Salaries and wages," "2. Travel," and "3. Other expenses."

5. INDIRECT COSTS are overhead or administrative costs that are not readily identifiable with a specific project. In order to assign these costs to a particular project, an indirect cost rate may be used provided you have negotiated, or will negotiate before the end of the grant period, such a rate with the Arts Endowment or another federal agency. You do **not** need to include indirect costs to apply to or receive a grant from the Endowment. Administrative costs may be assigned as direct costs under "3. Other expenses" if you do not wish to use indirect costs, or if you do not have or intend to negotiate an indirect cost rate. If you are not applying with an indirect cost rate, leave this section blank. If you are applying with an indirect cost rate, attach a copy of your current negotiated agreement.

For guidance on how to prepare an indirect cost rate proposal, contact the Office of Inspector General, Room 601, National Endowment for the Arts, Nancy Hanks Center, 1100 Pennsylvania Avenue, NW, Washington, DC 20506-0001 (202/682-5402).

6. TOTAL PROJECT COSTS is the total of "4. Total direct costs," and, if applicable, "5. Indirect costs." **NOTE:** "1. Amount requested from the Arts Endowment" plus "2. Total match for this project" must equal the "Total project costs." Your project budget should **not** equal your organization's entire operating budget.

Financial Information

OMB No. 3135-0112

Expires 07/31/2003

Read the instructions on page 45 before you start. If you are a fiscal agent or a parent organization, this information should refer to the group or component on whose behalf you are applying.

Applicant (official IRS name):

OPERATING BUDGETMost recently completed
fiscal yearCurrent fiscal year
(estimated)Next fiscal year
(projected)

(/ / - / /)

(/ / - / /)

(/ / - / /)

start date

end date

start date

end date

start date

end date

Income:

Earned

\$ _____

\$ _____

\$ _____

Contributed

\$ _____

\$ _____

\$ _____

Total Income

\$ _____

\$ _____

\$ _____

Expenses:

Artistic salaries and fees

\$ _____

\$ _____

\$ _____

Production/exhibition/service expenses

\$ _____

\$ _____

\$ _____

Administrative expenses

\$ _____

\$ _____

\$ _____

Total Expenses

\$ _____

\$ _____

\$ _____

Operating surplus/(deficit)

\$ _____

\$ _____

\$ _____

In the space below, explain 1) any changes of 15% or more in either your income or expenses from one year to the next, and 2) plans for reducing a deficit:

Instructions for the Financial Information Form

Provide the requested information for your organization for the most recently completed fiscal year, the current fiscal year (estimated), and the next fiscal year (projected). If you are the lead applicant for a consortium, provide this information for your own organization. If you are a fiscal agent or a parent organization, provide this information for the group or component on whose behalf you are applying (e.g., for a university project, the information should be provided for the component, not the entire university). For components, footnotes (e.g., "museum guards and utilities paid for by university") may be helpful to explain the relationship that the component has with the larger entity.

This page is intended to show your organization's fiscal activity as it relates to operations. Do not include activity related to a capital campaign (such as raising money for a new facility, an endowment fund, or a cash reserve fund). The Arts Endowment may request additional information to clarify an organization's financial position.

In the space provided on the form, explain 1) any changes of 15% or more in either your income or expenses from one year to the next, and 2) plans for reducing a deficit.

Use the following definitions when completing this form. Unaudited figures are acceptable.

Earned Income: Revenues that are received through the sale of goods, services performed, or from investments. Examples: ticket sales, subscription revenue, contractual fees, interest income.

Contributed Income: Gifts that are received which are available to support operations. Examples: annual fund donations, grants for general operating or project support, in-kind contributions.

Artistic salaries and fees: Costs that are directly related to the creation, production, and presentation of art work. Examples: fees for dancers, choreographers, actors, curators, artistic directors, contributors to literary publications. Include arts personnel that are on your staff as well as those that are paid on a contract or fee basis.

Production/exhibition/service expenses: All program or service delivery costs, excluding artistic salaries and fees that are listed above. Examples: presentation costs; costs of sets, costumes, and lighting; publication costs of catalogues or literary magazines.

Administrative expenses: All other costs that are incurred during the normal course of business. Examples: outside professional non-artistic services, space rental, travel, marketing, administrative salaries, utilities, insurance, postage.

Total Expenses: In the "Most recently completed fiscal year" column, this figure should agree with the "Total organizational operating expenses for the most recently completed fiscal year" that you provide on the Basic Information Form, Part 2 on page 34.

NOTE: The figures listed in the "Most recently completed fiscal year" column are subject to verification by the Arts Endowment.

Work Sample Index

OMB No. 3135-0112
Expires 07/31/2003

Refer to "How to Apply" on pages 17-20, the "Project Field/Discipline Instructions" on page 20, the "Special Application Requirements" on pages 21-31, and the instructions on page 47. List the work(s) submitted as part of your application package in the order in which you want them reviewed.

Applicant (official IRS name):

WORK SAMPLE A

1. Format (check one): ☐ Slides ☐ Books/publications ☐ Audio cassette ☐ CD ☐ DAT
☐ VHS ☐ 3/4" video cassette ☐ CD-ROM ☐ Other _____

2. List selections/describe contents

(Where appropriate, indicate title of work/artists/production credits, etc. Attach additional sheet(s) if necessary):

3. Date work(s) completed or performed:

4. Relationship of work sample to the project:

5. Special Instructions (Include cue information or real elapsed time, indicating the start of each selection):

WORK SAMPLE B

1. Format (check one): ☐ Slides ☐ Books/publications ☐ Audio cassette ☐ CD ☐ DAT
☐ VHS ☐ 3/4" video cassette ☐ CD-ROM ☐ Other _____

2. List selections/describe contents

(Where appropriate, indicate title of work/artists/production credits, etc. Attach additional sheet(s) if necessary):

3. Date work(s) completed or performed:

4. Relationship of work sample to the project:

5. Special Instructions (Include cue information or real elapsed time, indicating the start of each selection):

If more than two work samples are submitted, you may either copy this blank form, obtain a copy of this form from the Arts Endowment's World Wide Web site at www.arts.gov, or reproduce it on your computer (please keep to the original format). Label additional samples C, D, E...

Instructions for the Work Sample Index Form

List and describe the work samples that you are submitting in the order in which you want them reviewed.

HOW TO SUBMIT WORK SAMPLES

Work samples are crucial for evaluating the artistic quality of your project. Please take the time to select samples that communicate effectively the range and quality of your proposal.

Panelists generally spend no more than three to five minutes on the work sample(s) for each application. Cue your submission(s) to the start of the sample(s) to be reviewed, and include cue information on the Work Sample Index. Please be aware that the entire sample (not just the selected segment) is considered a part of the application package and may be reviewed.

Work samples generally will not be returned. The Arts Endowment will attempt to return them when the applicant specifically requests that we do so. Do not submit a return envelope with your work samples. The Endowment cannot be responsible for any loss or damage.

ALL WORK SAMPLES

Label each sample clearly with the name of the applicant and the corresponding Work Sample letter from the Work Sample Index. Where relevant, label both the cassette or disc, and its container. If you are submitting slides, see the instructions below.

SPECIFIC INSTRUCTIONS FOR CERTAIN TYPES OF WORK SAMPLES

AUDIO AND VIDEO CASSETTES: List each cassette as one work sample on the Work Sample Index form. Place the selection(s) in priority order, with those that you would most like reviewed at the beginning of the tape. Indicate the accumulated elapsed real time of each. For example, starting at the beginning of a 15-minute tape, Selection 1 would be indicated as 0'00". If five minutes elapse from the beginning of the tape to where the second selection starts, Selection 2 would be indicated as 5'00", etc.

AUDIO CASSETTES: Work may be submitted on an audio cassette or, for projects other than Music and Opera, on DAT (digital audiotape). Use high bias chrome or metal tapes; do not use voice quality tapes unless you are applying for a spoken-word project. Note on the cassette whether or not you have used a noise reduction system and indicate what kind. Record works on one side only. For DATs, program a separate track for each selection on the tape.

VIDEO CASSETTES: Tapes must be 1/2 inch VHS or 3/4 inch cassette, recorded at standard play speed.

COMPACT DISCS: List each CD as one work sample on the Work Sample Index form. Indicate the track number(s) that you want reviewed in priority order.

CD-ROMs: List each CD-ROM as one work sample on the Work Sample Index form. Indicate the files(s) that you want reviewed in priority order. Include instructions on how to open the files.

SLIDES: Slides must be 35 mm and suitable for carousel projection. Do not submit glass slides or use masking tape or other thick tape to label slides. Submit slides as follows:

- Number each slide.
- Place an ink dot on the **front bottom left** of each slide to guarantee that it is projected correctly.
- Place the slides in a 9 inch by 11 inch clear plastic file sheet.
- List your set of slides as one work sample on the Work Sample Index form. Attach to the Work Sample Index a numbered list of the individual slides. Be sure that the numbers on your list correspond to the numbers on each slide. Provide the following information, as applicable, about each slide:
 - Artist's name.
 - Title of slide/work.
 - Medium.
 - Date of work/activity.
 - Dimensions of artwork.
 - A brief description of the work, including how this image relates to the project.

ADVANCED TECHNOLOGY (e.g., electronic publications, computer art, Internet projects, etc.): Call the Arts Endowment staff in the relevant field/discipline (see the telephone listing on page 13) for guidance in preparing a submission.

Consortium Member Information

OMB No. 3135-0112
Expires 07/31/2003

To be completed by each member of a consortium, except the lead applicant, and included in the application package.

Lead Applicant for Consortium (official IRS name):

Consortium Member's Official IRS name:

Name (Also Known As):

Address:

City/State/Zip:

World Wide Web Address:

Contact First: Last: (Check one) ☐ Mr. ☐ Ms.

Title: E-mail:

Telephone: () ext. Fax: ()

Organization's Total Operating Expenses for the most recently completed fiscal year: \$
(Unaudited figures are acceptable)

Mission/purpose of your organization:

Briefly describe your organization's involvement in planning and executing the consortium project, including programming, management, finances, and any responsibilities for matching the Endowment's grant. Be specific; do not provide a general statement of support for the project. Use this space only.

We certify that the information contained in this statement is true and correct to the best of our knowledge, and that our organizations are committed to the success of this project.

Consortium Member Authorizing Official (please type)

X

/

Signature of Consortium Member Authorizing Official /Date

Lead Applicant's Authorizing Official (please type)

X

/

Signature of Lead Applicant's Authorizing Official /Date

Instructions for the Consortium Member Information Form

If your application is for a consortium project, have each member of your consortium complete a copy of this form. There may be no more than 10 members, including the lead applicant, in your consortium.

You may provide a photocopy of this form to each consortium member; consortium members may obtain a copy of this form from the Arts Endowment's World Wide Web site at www.arts.gov; or consortium members may reproduce this form on their computers. Make sure that each consortium member's form contains the correct IRS name for the lead applicant.

Each consortium member's authorizing official must sign its form and return it to the lead applicant. Consortium members may FAX or mail their signed forms to the lead applicant.

The authorizing official of the lead applicant, in turn, must sign the completed form from each member.

Organization and Project Profile

OMB No. 3135-0112
Expires 07/31/2003

Applicant (official IRS name):

This form is used by the National Endowment for the Arts to develop statistical profiles of the applications it receives. Your responses will **not** be a factor in the review of your application.

PART I

This section requires information about the applicant. If you are a fiscal agent, a parent organization, or the lead member of a consortium, your responses should relate to your organization, not the group or component on whose behalf you are applying.

A. **ORGANIZATIONAL STATUS:** Using the following list, select the **one** item which best describes the legal status of the organization:

Nonprofit organization	02 <input type="checkbox"/>	State government	05 <input type="checkbox"/>	County government	07 <input type="checkbox"/>
Municipal government	08 <input type="checkbox"/>	Tribal government	09 <input type="checkbox"/>	None of the above	99 <input type="checkbox"/>

B. **ORGANIZATIONAL DESCRIPTION:** The following codes work in conjunction with the Organizational Discipline codes in C. below (e.g., select "Performing Group" here and "Theater" below to indicate that your organization is a theater company). Using the following list, select the **one** item which best describes the organization:

Artists' Community	49A <input type="checkbox"/>	Fair or Festival	14 <input type="checkbox"/>	Media—Film	11 <input type="checkbox"/>	School District	19 <input type="checkbox"/>
Arts Center	15 <input type="checkbox"/>	Foundation	30 <input type="checkbox"/>	(e.g., a cinema or film exhibitor)		School of the Arts	48 <input type="checkbox"/>
(e.g., a multi-purpose arts facility)		Gallery/Exhibition Space	10 <input type="checkbox"/>	Media—Radio	45 <input type="checkbox"/>	Social Service Organization	50 <input type="checkbox"/>
Arts Council or Agency	16 <input type="checkbox"/>	Government	38 <input type="checkbox"/>	(e.g., a NPR station)		(a governmental or private agency, e.g., a public housing authority)	
(includes regional arts organizations)		(state, county, local, or tribal)		Media—Television	46 <input type="checkbox"/>		
Arts Institute or Camp	49 <input type="checkbox"/>	Historical Society/Commission	28 <input type="checkbox"/>	(e.g., a PBS station)		State-wide Assembly	17A <input type="checkbox"/>
Arts Service Organization	17 <input type="checkbox"/>	Humanities Council or Agency	29 <input type="checkbox"/>	Museum—Art	08 <input type="checkbox"/>	Union or Professional Association	18 <input type="checkbox"/>
College or University	26 <input type="checkbox"/>	Independent Press	12 <input type="checkbox"/>	Museum—Other	09 <input type="checkbox"/>	(includes artists'/designers' guilds, societies, etc.)	
Community Service Organization	32 <input type="checkbox"/>	Library	27 <input type="checkbox"/>	Performance Facility	07 <input type="checkbox"/>	None of the above	99 <input type="checkbox"/>
(a non-arts service organization, e.g., youth center, chamber of commerce, or YMCA)		Literary Magazine	13 <input type="checkbox"/>	Performing Group	03 <input type="checkbox"/>		
				Presenter/Cultural Series Organization	47 <input type="checkbox"/>		

C. **ORGANIZATIONAL DISCIPLINE:** Using the following list, select the **one** item which best describes the organization's area of work in the arts (not the project for which it is applying):

Crafts	07 <input type="checkbox"/>	Media Arts	09 <input type="checkbox"/>	Visual Arts	05 <input type="checkbox"/>
Dance	01 <input type="checkbox"/>	(audio/film/video)		Interdisciplinary	11 <input type="checkbox"/>
Design	06 <input type="checkbox"/>	Music	02 <input type="checkbox"/>	(art forms/works integrating more than one discipline)	
Folk & Traditional Arts	12 <input type="checkbox"/>	Musical Theater	03B <input type="checkbox"/>	Multidisciplinary	14 <input type="checkbox"/>
Humanities	13 <input type="checkbox"/>	Opera	03A <input type="checkbox"/>	(more than one discipline)	
Literature	10 <input type="checkbox"/>	Photography	08 <input type="checkbox"/>	None of the above	99 <input type="checkbox"/>
		Theater	04 <input type="checkbox"/>		

Organization and Project Profile (cont'd.)

OMB No. 3135-0112
Expires 07/31/2003

Applicant (official IRS name):

- D. ORGANIZATIONAL RACE/ETHNICITY (OPTIONAL):** Using the designations below, select the **one** item which best describes the predominant racial/ethnic identity of the organization. If at least half of the board, staff, or membership belongs to one of the listed racial/ethnic groups, use that designation. If no one group predominates, select "General".

American Indian or Alaska Native	N <input type="checkbox"/>	Hispanic or Latino	H <input checked="" type="checkbox"/>	General (No predominant racial/ethnic identity)	G <input type="checkbox"/>
Asian	A <input type="checkbox"/>	Native Hawaiian or Other Pacific Islander	O <input type="checkbox"/>		
Black or African American	B <input type="checkbox"/>	White	W <input type="checkbox"/>		

-
- E. ACCESSIBILITY:** Check below as applicable to indicate if the organization's board or staff includes an older adult (65 years of age or older) or a person with a disability (a physical or mental impairment that substantially limits one or more major life activities); otherwise leave blank.

Older Adults ☐

Individuals with Disabilities ☐

Organization and Project Profile (cont'd.)

OMB No. 3135-0112
Expires 07/31/2003

Applicant (official IRS name):

PART II — This section requires information about the project.

A. **PROJECT DISCIPLINE:** Using the following list, select the **one** item which best describes the project discipline:

Crafts	07 <input type="checkbox"/>	Media Arts —	09 <input type="checkbox"/>	Musical Theater	03B <input type="checkbox"/>	Interdisciplinary	11 <input type="checkbox"/>
Dance —	01 <input type="checkbox"/>	Audio	09B <input type="checkbox"/>	Opera	03A <input type="checkbox"/>	(art forms/works integrating more than one discipline)	
Ballet	01A <input type="checkbox"/>	Film	09A <input type="checkbox"/>	Photography	08 <input type="checkbox"/>	Multidisciplinary	14 <input type="checkbox"/>
Modern	01C <input type="checkbox"/>	Video	09C <input type="checkbox"/>	Theater	04 <input type="checkbox"/>	(more than one discipline)	
Design	06 <input type="checkbox"/>	Music —	02 <input type="checkbox"/>	Visual Arts	05 <input type="checkbox"/>	None of the above	99 <input type="checkbox"/>
Folk & Traditional Arts	12 <input type="checkbox"/>	Chamber	02B <input type="checkbox"/>				
Literature	10 <input type="checkbox"/>	Choral	02C <input type="checkbox"/>				
		Jazz	02F <input type="checkbox"/>				
		New	02D <input type="checkbox"/>				
		Orchestral	02I <input type="checkbox"/>				

B. **ACTIVITY TYPE:** Using the following list, select the **one** item which best describes the main activity of the project:

Artwork Creation	04 <input type="checkbox"/>	Publication	17 <input type="checkbox"/>	Professional Support:	15 <input type="checkbox"/>	Arts Instruction	12 <input type="checkbox"/>
Includes media arts, design projects, and commissions		(e.g., books, manuals, newsletters)		Artistic (e.g., artists' fees, payments for artistic services)		Includes lessons, classes, and other means to teach knowledge of and/or skills in the arts	
Concert/Performance/Reading	05 <input type="checkbox"/>	Writing About Art/Criticism	28 <input type="checkbox"/>	Professional Development/Training	29 <input type="checkbox"/>	School Residency	20 <input type="checkbox"/>
Includes production development		Repair/Restoration/Conservation	18 <input type="checkbox"/>	Activities enhancing career advancement		Artist activities in an educational setting	
Exhibition	06 <input type="checkbox"/>	Seminar/Conference	22 <input type="checkbox"/>	Research/Planning	19 <input type="checkbox"/>	Other Residency	21 <input type="checkbox"/>
Includes visual arts, media arts, design, and exhibition development		Apprenticeship	25 <input type="checkbox"/>	Includes program evaluation, strategic planning, and establishing partnerships		Artist activities in a non-school setting	
Fair/Festival	08 <input type="checkbox"/>	Audience Services	02 <input type="checkbox"/>	Building Public Awareness	33 <input type="checkbox"/>	Curriculum Development/Implementation	31 <input type="checkbox"/>
Identification/Documentation (e.g., for archival or educational purposes)	09 <input type="checkbox"/>	(e.g., ticket subsidies)		Activities designed to increase public understanding of the arts or to build public support for the arts		Includes the design and distribution of instructional materials, methods, evaluation criteria, etc.	
Recording/Filming/Taping (e.g., to extend the audience for a performance through film/tape; do not include archival projects)	16 <input type="checkbox"/>	Distribution of Art	24 <input type="checkbox"/>	Technical Assistance	34 <input type="checkbox"/>	None of the above	99 <input type="checkbox"/>
		(e.g., films, books, prints; include broadcasting)		with technical/administrative functions			
		Marketing	13 <input type="checkbox"/>				
		Professional Support: Administrative (includes consultant fees)	14 <input type="checkbox"/>				

C. **PROJECT DESCRIPTORS:** Using the following list, select **up to four** items that represent a significant aspect of the project:

Arts for Older Adults	9O <input type="checkbox"/>	Arts for Inner-City Communities	9D <input type="checkbox"/>	Minority Programming	9H <input type="checkbox"/>	Presenting	9M <input type="checkbox"/>
Projects for artists/audiences 65 years of age or older				Projects by non-minority organizations whose content clearly reflects minority groups or their heritage		The presentation of exhibitions, productions, etc., created elsewhere	
Arts for Youth	9L <input type="checkbox"/>	Arts for Rural Communities	9C <input type="checkbox"/>	Touring	9B <input type="checkbox"/>	Computer/Digital Technology	9A <input type="checkbox"/>
Projects for young people 18 years of age or younger		International Activity	9I <input type="checkbox"/>	The movement of artworks or artists for performances, etc., to benefit audiences in different geographic areas		The use of new technology for the creation or dissemination of artworks, building a Web site, etc.	
Arts for "At Risk" Persons (Adults or Youth)	9E <input type="checkbox"/>	Projects involving U.S. artists in other countries, visiting foreign artists, cultural exchanges, etc.					
Arts for Individuals with Disabilities or Individuals Living in Institutions	9P <input type="checkbox"/>	Minority Outreach	9G <input type="checkbox"/>				
		Outreach programs by non-minority organizations aimed at minority populations					

Organization and Project Profile (cont'd.)

OMB No. 3135-0112
Expires 07/31/2003

Applicant (official IRS name):

D. SCHOOL/AFTER-SCHOOL ACTIVITY: If your project involves pre-K through 12 students, answer the following questions by selecting yes or no; otherwise leave blank.

Will activity take place in a pre-K through 12 school facility? ☐ Yes ☐ No

Will activity take place outside the regular school day? ☐ Yes ☐ No

E. ARTS EDUCATION: Of the following responses, select the **one** that best characterizes the extent to which this project involves arts education (i.e., systematic educational efforts with measurable outcomes designed to increase knowledge of and/or skills in the arts):

		50% or more with activities primarily directed to:			
None	99 <input type="checkbox"/>	K-12 Students	01A <input type="checkbox"/>	Pre-Kindergarten Children	01C <input type="checkbox"/>
Some, but less than 50%	02 <input type="checkbox"/>	Adult Learners	01D <input type="checkbox"/>	Higher Education Students	01B <input type="checkbox"/>
		Includes teachers & artists		Multiple Groups of Learners	01 <input type="checkbox"/>

F. PROJECT ACTIVITY: Provide an estimate, to the extent possible, for each of the following that is relevant to your project. **Leave blank any items that are not applicable or that do not represent a significant aspect of the project.**

_____ # of artwork(s) to be created (include media arts, design projects, and commissioning; exclude student works)	_____ # of artists' residencies to occur (artists' activities in schools or other community settings over an extended period of time)
_____ # of concerts/performances/readings to be presented	_____ # of pre-K through 12 schools expected to participate
_____ # of exhibitions to be curated/presented (include visual arts, media arts, and design)	_____ # of community organizations partnered with to carry out the project
_____ # of books and/or catalogues to be published (# of different titles)	_____ # of apprenticeships to be offered
_____ # of artworks to be conserved/restored	_____ # of programs to be broadcast on radio or television (# of different programs)
	For state/regional/local arts agencies only:
	_____ # of subgrants to be awarded

G. PARTICIPANTS/AUDIENCES BENEFITING: Provide an estimate, to the extent possible, for each of the following that is relevant to your project. Include only those persons expected to directly participate in or benefit from the project during the grant period. **Leave blank any items that are not applicable.**

_____ # of artists (include all members of performing groups and living artists whose work is presented, e.g., in an exhibition or concert)	_____ Total # of individuals benefiting (include all figures in the left column and all other participants/audiences—except broadcast audiences)
_____ # of teachers/administrators	_____ Total estimated audience for radio or television broadcast
_____ # of children/youth (18 years of age or younger)	

Application Checklist

Please complete the checklist below to make sure that all required material has been included in your application package. This is solely for your own use. This checklist does NOT need to be included in your application package.

- ☐ **Application Acknowledgment Card** or a self-addressed postcard. Page 17.
- ☐ **Internal Revenue Service determination letter for tax-exempt status** or the official document that identifies the applicant as a unit of state or local government, or as a federally recognized tribal community or tribe (one copy). Page 18.
 - ☐ Local arts agencies applying for subgranting projects also must include a copy of the city/county ordinance, resolution, charter, or contract that assigns them the authority to operate on their local government's behalf (one copy)
 - ☐ For a lead applicant that applies on behalf of a consortium, submit documentation for each consortium member (one copy)
- ☐ **Application Forms** on pages 32-44 and 50-53 (one set with original signatures and two copies). Page 18.
- ☐ **Biographies** of the key project-related personnel (two copies). Page 18.
 - ☐ If your project involves highly technical professionals, **resumes** (two copies)
 - ☐ For a parent organization that applies on behalf of eligible components, a **list of key staff** of the component unit, describing any overlaps in staffing with the parent organization (two copies)
- ☐ **List of current board members** (two copies). Page 18.
 - ☐ For a parent organization that applies on behalf of eligible components, a **list of board/advisory group members** for the component and for the parent organization (two copies)
 - ☐ For a lead applicant that applies on behalf of a consortium, a **list of current board members** for each consortium member (two copies)
- ☐ **Sample programs, brochures, calendars, catalogues, or other promotional material** for the previous and current seasons (two copies). Page 18.
 - ☐ For a parent organization that applies on behalf of eligible components, **brochures or other printed material** that document the identity of the component as distinct from the parent organization (two copies)
- ☐ A **representative list** of your organization's programming or recent activities for the following years: 1998-99, 1999-2000, 2000-01 (two copies). Page 18.
- ☐ Where relevant, **evidence of commitment/letters of support** by all collaborating organizational partners or primary creative artists (two copies). Page 19.

For a consortium project:

 - ☐ **Consortium Member Information Form** on page 48 for each member of the consortium (two copies)
- ☐ If your project is based on copyrighted material, a **signed statement that documents the clearance of rights** (two copies). Page 19.
- ☐ If you are submitting work samples, the **Work Sample Index** on page 46 (two copies; three copies for Music and Opera projects). Page 19.
- ☐ The **Special Application Requirements** on pages 21-31. Follow the instructions for the field/discipline that is most relevant to your project.

SEND YOUR APPLICATION PACKAGE TO:

Office of Information and Technology Management, Room 815
[Goal/Field or Discipline under which you are applying, e.g., Access/Museums
(see "Project Field/Discipline Instructions" on page 20)]
National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, NW
Washington, DC 20506-0001 (Overnight Mail Zip Code: 20004)

Legal Requirements

By law, the National Endowment for the Arts may support only those organizations that:

- **Are tax-exempt.** Organizations qualifying for this status must meet the following criteria:

- (1) No part of net earnings may benefit a private stockholder or individual.

- (2) Donations to the organization must be allowable as a charitable contribution under Section 170(c) of the Internal Revenue Code of 1954, as amended.

For further information, go to the Internal Revenue Service's (IRS) Web site at www.irs.gov; write the IRS TE/GE Division, Customer Service, P.O. Box 2508, Cincinnati, OH 45201; or call the IRS office listed in your area.

- **Compensate all professional performers and related or supporting professional personnel on Arts Endowment-supported projects at no less than the prevailing minimum compensation.** (This requirement is in accordance with regulations that have been issued by the Secretary of Labor in part 505 of Title 29 of the Code of Federal Regulations; part 505 does not provide information on specific compensation levels. You can link to it through our Web site at www.arts.gov.)

- **Assure that no part of any Arts Endowment-supported project will be performed or engaged in under working conditions which are unsanitary or hazardous or dangerous** to the health and safety of the employees involved.

- **Comply with the federal requirements that are outlined in the "Assurance of Compliance" section that follows.**

ASSURANCE OF COMPLIANCE

By signing the application form, the Applicant certifies that it is in compliance with the statutes outlined below and all related Arts Endowment regulations and will maintain records and submit the reports that are necessary to determine compliance. The Applicant further certifies that it will obtain assurances of compliance from all subrecipients and will require all subrecipients of Endowment funds to comply with these requirements. The Arts Endowment may conduct a review of your organization to ensure that it is in compliance. If the Endowment determines that a grantee has failed to comply with these statutes, it may suspend, terminate, and/or recover funds. This assurance is subject to judicial enforcement.

I. Nondiscrimination Statutes

The Applicant certifies that it does not discriminate:

- On the grounds of race, color, or national origin (including limited English proficiency), in accordance with **Title VI of the Civil Rights Act of 1964**, as amended (42 U.S.C. 2000d et seq.).

- On the grounds of disability, in accordance with **Section 504 of the Rehabilitation Act of 1973** (29 U.S.C. 794) and the **Americans with Disabilities Act of 1990** ("ADA") (42 U.S.C. 12101-12213). The ADA's requirements apply regardless of whether you receive federal funds.

- On the basis of age, in accordance with the **Age Discrimination Act of 1975** (42 U.S.C. 6101 et seq.).

- On the basis of sex, in any education program or activity, in accordance with **Title IX of the Education Amendments of 1972** (20 U.S.C. 1681 et seq.).

For further information and copies of the nondiscrimination regulations identified above, contact the Endowment's Office of Civil Rights at 202/682-5454 or 202/682-5695 Voice/T.T., or link to them through our Web site at www.arts.gov. For inquiries about limited English proficiency, contact the Office of General Counsel at ogc@arts.endow.gov or 202/682-5418.

2. Regulations relating to Debarment and Suspension (45 C.F.R. pt. 1154) in which the Applicant certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in covered transactions by any federal department or agency, nor

Has, within the three years preceding the submission of this application, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with a public (federal, state, or local) transaction or a contract under a public transaction; for violation of federal or state antitrust statutes; for commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; had any public transactions terminated for cause or default; or is presently indicted for or otherwise criminally or civilly charged by a governmental entity with any of the preceding offenses.

3. Federal Debt Status (OMB Circular A-129). The applicant certifies that it is not delinquent in the repayment of any federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments.

4. The Drug-Free Workplace Act of 1988 (41 U.S.C. 701 et seq. and 45 C.F.R. pt. 1154) requires grantee organizations, within 30 days of receiving a grant, to make a continuing, good faith effort to maintain a drug-free workplace through implementation of the following:

- Publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace, and specifying the actions that will be taken against employees for violation of the prohibition. (For the purposes of this Act, alcohol is not considered a controlled substance.) The grantee shall give a copy of the statement to each employee who will be involved in grant-supported activities and notify those employees that they are expected to abide by the statement. For the purposes of this law, "employees" include consultants and temporary personnel (but not volunteers), who are directly engaged in work under the grant and who are on the grantee's payroll. The grantee should maintain on file the address of each site where work is performed under the grant.

- Establish a drug-free awareness program that will inform employees about the dangers of drug abuse in the workplace, the grantee's policy of maintaining a drug-free workplace, any available drug counseling, rehabilitation, and employee assistance programs, and the penalties that might be imposed for workplace drug abuse violations. Employees should be informed that any conviction for a violation of a criminal drug statute that occurs in the workplace must be reported to the employer, in writing, no later than five calendar days after such a conviction. The grantee, in turn, must notify the Arts Endowment's Grants & Contracts Officer, in writing, within ten calendar days of receiving such notice from its employee. The grantee's notice to the Arts Endowment must include the convicted individual's position title and the number(s) of each affected grant.

- Within 30 calendar days of receiving notice of an employee's criminal drug conviction a grantee should take appropriate personnel action against the convicted employee, up to and including ter-

mination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program that has been approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

5. The Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. 3001 et seq.) which applies to any organization which controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

Other

If your project, including the planning stage, has environmental implications (e.g., an arts festival in a park or the commissioning and installation of an outdoor sculpture), you may be requested to provide information to the Arts Endowment in response to specific questions in accordance with the **National Environmental Policy Act**.

If your project includes the planning for major renovation of any structure that is eligible for or on the National Register of Historic Places you may be asked to provide additional information on your project to ensure compliance with the **National Historic Preservation Act**. This law also applies to planning for new construction that would affect historic properties.

REPORTING BURDEN

The public reporting burden for this collection of information is estimated to average 32 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The Arts Endowment welcomes any suggestions that you might have on improving the guidelines and making them as easy to use as possible. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Office of Guidelines & Panel Operations, Room 516, National Endowment for the Arts, Nancy Hanks Center, 1100 Pennsylvania Avenue, NW, Washington, DC 20506-0001. Note: Applicants are not required to respond to the collection of information unless it displays a currently valid U.S. Office of Management and Budget (OMB) control number.

APPLICATION ACKNOWLEDGMENT CARD

National Endowment for the Arts
Grants to Organizations, FY 2002

In all future inquiries, refer to your application number, which is:

Application Number—Arts Endowment Use Only

Date

- ◀ Please address the reverse side of this card to yourself. Include this card as the first item in your application package. It will be returned to you to acknowledge receipt of your application at the National Endowment for the Arts.

The Arts Endowment will provide a courtesy mailing of the FY 2003 *Grants to Organizations* guidelines to all applicants from the past four years. If you do not receive next year's guidelines by February 2002, please contact the Endowment or its World Wide Web Site (www.arts.gov).

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recycled paper



National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, NW
Washington, DC 20506-0001

OFFICIAL BUSINESS

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